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A Management Approach to Successful International Partnerships of Universities: A Phase- and Principle-Based Management Model and Its Implications for Japanese Higher Education

Takahara, Yoshie

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A Management Approach to Successful International Partnerships of Universities: A Phase- and Principle-Based Management Model and Its Implications for Japanese Higher Education

Yoshie Takahara

A thesis submitted for the degree of Doctor of Business Administration

(Higher Education Management)

University of Bath

School of Management

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ABSTRACT

Universities, facing both pressures and opportunities created by globalisation, are currently seeking a way to reinforce their capabilities by enhancing their academic strength through internationalisation. In such a setting, the development of international partnerships has been increasingly recognised as a central strategy for the success of internationalisation. Understanding the increasing importance of international partnerships for universities, this study will attempt to understand what could make a successful partnership and identify which management approach is most likely to realise a successful international partnership between universities. A successful international partnership in this thesis is assumed to be the one that is able to function smoothly and effectively towards achieving the goals set by the partnership.

This thesis argues that the best management approach for successful international partnerships is a phase- and principle-based management approach. This approach enables a partnership to facilitate the essential ‘phases’ of development and sustainable growth by embedding some critical principles into its management practices to facilitate those essential ‘phases’. This study proposes there are three essential phases and three critical principles. The three essential phases are ‘building a partnership’, ‘consolidation and catalysing maturity’ and ‘maintaining a positive cycle between growth and consolidation’. The three critical principles are accountability, transparency, and learning capacity. While discussing a phase- and principle-based management approach, this thesis develops the premise that an international university partnership is an organic and dynamic phenomenon and the success of an international partnership is underpinned by entrepreneurial culture.

This thesis involves case studies with multiple universities from Japan, the United Kingdom, Belgium, Sweden, and Australia, engaging in different types of international partnerships. Through the case studies, this thesis explores whether existing universities consider the three phases and the three critical principles as important, and how they have developed and improved their management structures and processes to implement their international partnerships. To be more precise, two types of international university partnerships are studied, namely a partial and task-specific double degree programme (DDP) partnership between a Japanese university and its partners, which is an example of a standard management model, and a comprehensive and organised strategic alliance between multiple universities from different countries, which is an example of the best management model. Those two models are compared using the phase- and principle-based model as comparator criteria.

International university partnership development in a Japanese context is another key theme.

This thesis examines the state of international partnerships recently developed by Japanese universities. It makes a comparison of the current situation of Japanese universities using the best identified management model. At present, the most popular type of international partnership in Japanese higher education is that of a DDP, which is a basic and task-specific type of partnership. Many universities around the world are developing DDP partnerships. Such partnerships are therefore appropriate for a case study of a standard management approach. To examine the DDP partnerships developed by a Japanese university, this thesis focuses on the case of Kyushu University, Japan and its partners; the aim is to identify the strengths and weaknesses of a basic and task-specific partnership model with respect to current and future circumstances.

This thesis studies the strategic alliance between Monash University and the University of Warwick for the best management approach. The Monash Warwick Alliance is an advanced comprehensive partnership with diverse projects involving wide range of stakeholders including researchers, educators, students, administrators, and outside stakeholders. Considering its broad range of scope and stakeholders, it could embrace greater complexity in terms of management, thereby more mature and sophisticated management structures and processes could be required.

Based upon understanding the essential features of the best management approach, this thesis attempts to figure out whether and how the limitations of a partial and task-specific DDP partnership, could be rectified and provide recommendations for universities in Japan to aid the further advancement of their international partnership projects and the overall internationalisation of universities. Possible improvements suggest that their management structure should possess the capability to steer and coordinate a partnership by developing accountable management structures and implementing effective communication and information strategies, developing a vigorous system of quality and performance review, creating a mechanism to institutionalise learning, and integrating expertise in the management structures and processes.

ABBREVIATIONS

AE-KUL	Centre for European Studies, the University of Leuven
AHCE	The Ad Hoc Council on Education
ASEAN	Association of Southeast Asian Nations
DDP	Double Degree Programme
E-KU	Faculty of Engineering, Kyushu University
E-Lund	Faculty of Engineering, Lund University
EU	European Union
EU-JAMM	EU-Japan Advanced Multidisciplinary Master Studies
GATS	The General Agreement on Trade in Services
KU Leuven	The University of Leuven
L-KU	Faculty of Law, Kyushu University
MEXT	Japanese Ministry of Education, Culture, Sports, Science and Technology
OECD	Organisation for Economic Co-operation and Development
SIH	The Strategic Fund for Establishing International Headquarters in Universities
WTO	World Trade Organisation

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CHAPTER 1

INTRODUCTION

1.1 Introduction

Globalisation has produced numerous phenomena that influence various aspects of higher education. Such phenomena include information and communication technology, the use of a common language for scientific communication, the massification of higher education, societal needs for highly educated personnel, a knowledge society, the market economy, and trade liberalisation (Altbach 2004; Knight 2005). These phenomena may have various impacts on higher education. One example of a positive impact is the international initiative of cross-border education and collaborative scholarship, which aims to contribute to the development of individuals, institutions, nations, and the world at large (Knight 2012).

In a world of global competition and co-operation, universities are facing both pressures and opportunities created by globalisation. Thus, they are currently seeking a way to reinforce their capabilities by enhancing their academic strength through internationalisation. The development of international partnerships has been increasingly recognised as a central strategy for the success of internationalisation. Therefore, it is crucial for universities to understand how they can develop various types of successful international partnerships, including a partnership not only between universities but also in collaboration with industries, governments, or local communities. Among the various forms of partnerships, this study will focus on international partnerships between universities and try to understand what makes a successful partnership.

The purpose of this study is to identify which management approach is most likely to achieve a successful international partnership among universities. This thesis adopts a process-based approach to international partnership management; accordingly, a successful international partnership is assumed to be one that is capable of functioning smoothly and effectively towards achieving the goals set by the partnership. Chapter 4.1 elaborates this process-based approach.

Strong governance and management are both important for the success of international partnerships. This thesis defines such governance as one that provides strategic direction setting and assumes accountability of management for good performance and institutional sustainability. Management consists of leadership and driving functions to achieve aims

through all institutional domains and processes. Based on the understanding that the quality of both governance and management affects the success or failure of international partnerships, this study principally focuses on management issues that practically control, coordinate, and operate a partnership. This thesis recognises that the lack of discussion about governance is one of the limitations of the present study: towards a more holistic approach to assessing the success of international partnerships, future investigations should focus on the associated governance issues.

This study first examines the literature on higher education partnerships and business partnerships to determine previously identified success factors. To construct an interpretative framework of the best management model, the identified success factors are assessed in light of the author's own experience and learning as a practitioner engaged in university international affairs. The best management model is a phase- and principle-based management model for successful international partnerships.

This model enables a partnership to facilitate the essential 'phases' of development and sustainable growth by embedding some critical principles into its management practices to facilitate those essential 'phases'. This study also proposes there are three essential phases and three critical principles. The three essential phases are 'building a partnership', 'consolidation and catalysing maturity' and 'maintaining a positive cycle between growth and consolidation'. The three critical principles are accountability, transparency, and learning capacity.

Applying this proposed phase- and principle-based management model to actual examples, this thesis explores whether existing international university partnerships consider the three phases and the three critical principles as important and what practices are actually implemented and regarded as effective in managing partnerships through an empirical study.

Based upon understanding the essential features of a management approach model for successful partnerships, this thesis would like to provide recommendations for Japanese universities, to aid the advancement of their international partnership projects and overall internationalisation. Thus, this thesis contributes to the further advancement of the internationalisation of universities in Japan and other countries.

1.2 Argument

This thesis attempts to identify crucial elements for success of international partnership

management. To identify those crucial elements, this thesis integrates success factors identified in the relevant literature on both university partnerships and business partnerships; those factors are filtered in the light of the author's own experience and learning as a practitioner engaged in university international affairs; then synthesises to the most crucial elements, which comprise three phases and three principles. Those three phases are essential to make a partnership to succeed, and the three principles are critical to facilitate those three phases.

The first of the three phases is (1) building a partnership. The shape of a partnership is determined in the building a partnership phase and the shape may affect its future. The second phase is (2) consolidation and catalysing maturity. This phase describes that if a partnership can ascend to the level of operational maturity, as catalysed by communication, trust, and learning from experience, then the partnership will be more likely to maximise opportunities for success. The third and final phase is (3) maintaining a positive cycle between growth and consolidation. That is, if a partnership can maintain growth to consolidate and avoid stagnation, then the partnership will be more likely to succeed. Those three essential phases are interactive and work together synergistically to activate an international partnership.

As is stated in the former section, a phase- and principle-based management approach enables a partnership to facilitate the three essential 'phases' of development and sustainable growth by embedding three critical principles into its management practices to facilitate those essential 'phases'. A definition of relationship between practices and principles is derived from the relevant literature. Practices are what people do in real life for a certain purpose, and practices are induced by principles— i.e., what they value (Chapter 4). Applying this concept to international partnerships, it can be said that practices are the procedures actually undertaken by people or organisations that permeate all the processes involved in managing a partnership. In addition, the practices exercised in a successful partnership embody some critical principles. The three critical principles are accountability, transparency, and learning capacity.

Accountability is particularly essential to the processes undertaken by a governance body that drives and controls the configuration and operation of all aspects of a partnership; the body does so by providing appropriate direction and leadership.

These critical principles each play significant roles in the management of a partnership: 'accountability' is particularly essential to the processes undertaken by a governance body that drives and controls the configuration and operation of all aspects of a partnership; the body

does so by providing appropriate direction and leadership; ‘transparency’ is largely essential in processes to enhance effective information flow through communication and the sharing of knowledge and information to create cohesion among stakeholders through trust; and ‘learning capacity’ prompts the improvement of overall management practices and processes such as problem-solving and the overall performance control of the partnership, thereby enhancing the ability to adapt to changes and ensure that innovation frequently occurs.

This theoretical framework of three essential phases and three critical principles is empirically tested by case studies with multiple universities from Japan, the United Kingdom, Belgium, Sweden, and Australia, engaging in different types of international partnerships. Through the case studies, this thesis aims to determine whether existing universities consider the three phases and the three critical principles as important, and *how* they have developed and improved their management structures and processes to implement their international partnerships. In addition, this thesis attempts to explore the efficacy and limitations of the existing partnership management by the case-studied universities. The case studies and the results are discussed in Chapter 5 and Chapter 6.

Overall, this thesis argues as follows: all relevant internal organs of each partnering university need to have the capacity to understand the three critical principles and implement their attendant practices in the management process. A partnership of such universities exercises the best management approach that embeds the three critical principles into their management practices, and thereby a partnership acquires the capacity to integrally and synergistically facilitate the three essential phases in its management structures and processes. It is then that the partnership is likely to be successful. This theoretical framework of a phase- and principle-based management model is further elaborated in Chapter 4.

1.3 Themes

This thesis contains three themes. The first theme is the ‘dynamics of international partnerships’, which this thesis considers as one of the most critical elements for the success of international partnerships between universities. A partnership is an organic and dynamic phenomenon moving through various stages of evolution (Davies 1991, p.207) and involves various stakeholders engaged in collaboration. A partnership is not still, but moves through the multiple stages of development, initiation, growth, consolidation, stagnation, and decay and termination in its life cycle. Also, a partnership involves various stakeholders. As a partnership becomes more complex with more stakeholders involved, its potential instability increases,

therefore operational maturity is required to its management to control such complexity and stabilise a partnership to produce further growth and evolution. Correlating operational maturity with a partnership life cycle, maturity level can evolve since its development stage and through to the growth and consolidation stages. Moreover, the level of operational maturity is catalysed as learning capacity increases. A partnership with high-level operational maturity can control organisational complexity and adapt to changing circumstances. Such partnership is most likely to produce further growth and evolution, and thus becomes successful.

This theme provides the important thematic idea of the ‘three essential phases’ of international partnerships, which is briefly mentioned below (1.5) and elaborated further in Chapter 4.2. There is scant reference in the literature to the dynamics of international partnerships in the field of the internationalisation of higher education, and focusing the dynamics of international partnerships can demonstrate originality of this thesis.

The second theme is the ‘entrepreneurial culture’ of universities, which can aid the capability of understanding and controlling the ‘dynamics of an international partnership’. Based on a literature review, this thesis accepts that an entrepreneurial university is so proactive and innovative as to have a willingness to take risks and install new structures, processes, practices, and orientations to facilitate adaptive changes. Moreover, an entrepreneurial university is a learning organisation that is able to maintain cycles of self-enhancement by means of exploring new methods (Davies 2001; Clark 2001).

Considering this characteristic of an entrepreneurial university and the dynamics of a partnership described above, a university’s capacity to develop an international partnership, which is a new opportunity for universities going beyond traditional means, correlates closely with the entrepreneurial nature of the university. This reciprocal relationship of the entrepreneurial culture of universities and partnership development is taken into account in the discussion on successful international partnerships.

The third theme is ‘international partnerships in a Japanese context’. Japan’s internationalisation has often been regarded as distinctive but inward looking; throughout its history, Japan has often maintained cultural, political, and educational barriers against the outside world. This historical isolation of Japan from other countries may have negatively affected perceptions of international interaction among Japanese universities. Lack of alacrity to become involved in multinational interactions probably had a long-term effect on the development of international partnerships with Japanese universities. International partnership

development is a new, not-so-easy challenge for Japanese universities; however, it can be an effective tool to generate real multinational interactions among Japanese universities and open them up to the rest of the world.

Under that third theme, this thesis explores the historical background of internationalisation of Japan's higher education; it also examines the state of international partnerships recently developed by Japanese universities with regard to both policy and implementation. The current situation with international partnerships developed by Japanese universities is then compared with the best management approach identified in this thesis. The aim of this exercise is to provide a number of recommendations that can help Japanese universities advance their international partnerships, as well as the overall internationalisation of Japanese universities, based on a study of a comprehensive and organised strategic alliance.

1.3.1 Dynamics of International Partnerships

This thesis takes account of the concept by Davies (1991) that a partnership is an organic and dynamic phenomenon, moving through various stages of evolution. Furthermore, there is the probability that a partnership may involve multitude of organisations and collaborative stakeholders to create a complex environment. In this context, this study will approach international partnerships by focusing on three key features derived from Davies's work, namely the 'life cycle of a partnership', the 'relationship between the maturity of a partnership and its operational effectiveness', and the 'capacity to control possible instability caused by the complexity of the organisation'. These features of partnerships are also discussed by other scholars such as Van de Water et al. (2008), Kale and Singh (2009), and Babiak and Thibault (2009). A more detailed account on the three features of the dynamics and Davies's original concept are elaborated in Chapter 4.2.

The first feature, the 'life cycle of a partnership', is developed from Davies's concept of the life cycle of higher education institutions, which consists of six stages: development, initiation, growth, consolidation, stagnation, and decay and termination. In each stage, there are particular processes that need to be undertaken, as appropriate, or be carefully considered. Applying this life cycle concept to an international partnership, this study explores which stages play significant roles to produce successful partnerships.

The second feature, the 'relationship between the maturity of a partnership and its operational effectiveness', indicates the significance of the evolutionary maturity process of a partnership from a behavioural point of view. The original concept by Davies (2001) was developed from

a study of partnerships in a regional context (i.e., between universities and external agencies), whereas this thesis applies Davies's concept to partnerships between universities and hypothesises that if most clusters in a partnership reach full maturity, the partnership can demonstrate operational effectiveness and such partnership would most likely succeed.

The third feature, 'capacity to control possible instability caused by the complexity of the organisation', is also developed from Davies's (1998) concept of inter-institutional co-operation at a regional level. A partnership involving various stakeholders is likely to demonstrate serious organisational complexity, and consequently potential instability may increase. Therefore, universities managing partnerships need to create necessary management systems to control any potential instability caused by complexity.

1.3.2 Entrepreneurial Culture and International Partnerships

Based on a literature review, this thesis accepts that an entrepreneurial university is a proactive and innovative organisation. An entrepreneurial university can read the market and external forces and act accordingly, and has a willingness to take risks and install new structures, processes, practices, and orientations to facilitate adaptive changes. Furthermore, it is a learning organisation that is able to maintain cycles of self-enhancement by means of exploring new methods, as well as learning how to more efficiently exploit the fields in which they are already engaged (Davies 2001; Clark 2001).

By contrast, with regard to international partnership development, the relevant literature indicates that the development of an international partnership, in which multiple universities from different countries jointly implement a wide scope of collaborative academic activities, represents a new opportunity for universities, going beyond traditional means. This poses a new challenge for universities, one of which they have no experience. In this sense, universities striving to develop international partnerships need to foster an entrepreneurial spirit, where they are eager to engage in self-enhancement and agreeable to changes within the university.

This thesis develops the premise that the entrepreneurial culture of universities and international partnership development are mutually reinforcing. The success of developing international partnerships is underpinned by an institutional culture that is both entrepreneurial and adaptive. At the same time, the formation of sound international partnerships is likely to be a pre-requisite of entrepreneurial success in a competitive setting, as Davies (2001, p.41) indicates. Consequently, a university's capacity for international partnership development and

successful partnership correlates closely with the entrepreneurial nature of the university.

Entrepreneurial universities are often discussed in the context of their economic and social impact, such as commercialisation of knowledge; however, this thesis approaches the entrepreneurship of universities following the concept of Gibb et al. According to those authors, the entrepreneurship concept is not at all wholly synonymous with marketisation and commercialisation; the debate about entrepreneurial universities covers all university activities that are an effective response to an environment of growing uncertainty and complexity; entrepreneurship is an individual or organisational behavioural and development response to uncertainty and complexity (Gibb et al. 2009, p.18, p.27). Adopting this approach, the present thesis associates entrepreneurship with international partnership development among universities in pursuing the best management practices to facilitate university activities as they cope with an environment of uncertainty and complexity.

A more detailed account of an entrepreneurial culture and international partnerships is provided in Chapter 2.3.

1.3.3 International Partnerships in a Japanese Context

Presently, more universities are treating international partnerships as a key element in their long-term strategies and at the centre of their internationalisation programmes (Fielden 2011, p.4-5; Sutton 2010, p.60). Through partnership collaboration, universities complement and learn from one another to extend their capacity to undertake activities that could not be done alone (Kinser and Green 2009, p.2). This thesis sides with the view of Sutton et al. (2012, p.148), that the significance of an organised international partnership is that it involves the entire departments, offices, and institutions of the partnering universities through the generation of common goals, projects, and products. It means, in other words, that the development of an international partnership is a strong driving force for universities to be comprehensively internationalised. In addition, considering the relationship of an entrepreneurial culture and international partnerships, as discussed above, the development of international partnerships can also contribute to fostering a university's entrepreneurial culture.

Turning to the international partnerships of Japanese universities, such projects are relatively new in Japan. Although some foreign providers—mainly from the United States—have established branch campuses in Japan, and since the 1980s a number of Japanese universities have engaged in overseas expansion to develop overseas campuses in foreign countries, these

are not considered to be international partnerships as discussed in this thesis, which managed by multiple universities in collaboration. More than 30 foreign universities have established branch campuses in Japan at the invitation of local governments or private companies in the 1990s but many of them had closed by 2003 (Torii 2003, p.201). Furthermore, the mission of the overseas campuses of Japanese universities was not to provide education to local students but to provide Japanese students with study abroad opportunities (seen largely as a recruitment strategy) (Sukigara 1991, p.77).

In research collaborations, Japanese Ministry of Education, Culture, Sports, Science and Technology (MEXT) has supported several large international joint research funds for tightly selected research-intensive universities; most of them are highly ranked national universities and private universities. Those selected research-intensive universities develop international joint research partnerships with research units or faculties. However, such international research partnerships are very rare. More than 77% of Japanese universities are in the private sector; the vast majority of private universities are involved in educational activities in the humanities and social sciences at undergraduate level (Huang 2017, p.7). This means that in general, international education partnerships have popular potential and are feasible for Japanese universities.

Reviewing Japan's policy regarding international partnerships in education, one of the earliest examples of international education partnership projects jointly organised by Japanese and foreign universities were those encouraged by the Ministry of Education, Culture, Sports, Science and Technology (MEXT) as a 2006 initiative. Since then, several national programmes have been launched to support Japanese universities to develop joint and double degree programmes in an international framework. The number of double degree programmes has increased annually, and it was reported that as of 2014, 151 Japanese universities are implementing double degree programmes (MEXT 2016a, p.58). However, currently, there are very few comprehensive joint degree programmes. In 2014, MEXT highlighted joint degree programmes in international projects with the launching of its 'Top Global University Project'. Joint degree programmes are considered an effective tool for internationalisation, and thus, the development of such programmes is a major challenge for Japanese universities. This issue of international partnerships of Japanese universities is further discussed in Chapter 3.

1.4 Originality

This thesis shows its originality in two ways. The first relates to the theme of the 'dynamics of

international partnerships’ and the ‘entrepreneurialisation of universities’. As is briefly mentioned above (1.3.1), this thesis recognises an international partnership as an organic and dynamic phenomenon. However, there is scant reference in the literature to the dynamics of international partnerships in the field of the internationalisation of higher education. Therefore, looking at institutional life cycles as well as partnership development in a regional context, this thesis aims to explain Davies’s three base concepts, namely the life cycle of a higher education institution, the evolution of the maturity of clusters, and inter-institutional co-operation at the regional level. These base concepts provide the important thematic idea of the ‘three essential phases’ of international partnerships, which is briefly mentioned below (1.5) and elaborated further in Chapter 4.2.

Moreover, the reciprocal relationship of the entrepreneurial culture of universities and partnership development is taken into account in the discussion on successful international partnerships. In this way, the author approaches international partnerships between universities from a viewpoint of ‘dynamics’, referring to a wide range of sources in the field of higher education. In addition, literature on both higher education and business alliances are used for reference and study.

In this thesis, originality also lies in the focus on international partnerships developed by Japanese universities. Attempts are made to learn from the different models of existing international partnerships to identify implications for Japanese universities as they evolve from their present level of internationalisation. As stated above, international partnerships involving Japanese universities are generally constrained, and there are currently very few joint degree or comprehensive international partnerships. Therefore, little research has been conducted on the development of Japanese universities’ international partnership, especially in terms of management approaches.

1.5 Research Design

A successful international partnership in this thesis is assumed to be the one that is able to function smoothly and effectively towards achieving the goals set by the partnership. (Chapter 4 elaborates more about a successful international partnership.) For this purpose, this study seeks to understand which management approach is most likely to drive international partnerships between universities smoothly through all stages from planning, development, and implementation, through to sustainability. This thesis does not take a result-oriented approach such as revenue creation, better institutional reputations, higher performance of

students learning outcomes, the number of degrees or diplomas conferred through the joint programme, the number of joint research publications, and so on. Instead, a process-oriented approach is developed, focusing on management structures and processes for international partnerships to function smoothly and effectively towards achieving the goals set by the partnership, irrespective of its scope and goals.

This thesis introduces a theoretical framework of the three essential phases and three critical principles, and their attendant practices, based on a literature review, all of which the author believes are necessary for successful international partnerships. The proposed three essential phases are ‘building a partnership’, ‘consolidation and catalysing maturity’, and ‘maintaining a positive cycle between growth and consolidation’. Chapter 4 discusses this theoretical framework in detail. Those three essential phases are key phenomena that create the dynamics of international partnerships. Therefore, it is helpful for a management team to understand how they can facilitate those phases in the process of managing a partnership.

Practices are what people actually do in real life to manage a partnership. This thesis presumes, based on the relevant literature, that these practices embody critical principles that are considered important in managing a successful partnership. The proposed critical principles are ‘accountability’, ‘transparency’, and ‘learning capacity’. All three principles are vital to produce the management practice necessary to facilitate the three essential phases and lead a partnership to success.

By combining the ideas of essential phases and critical principles, and their attendant practices, the thesis proposes one theoretical framework for the success of an international university partnership. The theoretical framework comprises the following main aspects: all relevant internal organs of each partnering university need to have the capacity to understand the three critical principles and exercise their attendant practices in their management; the partnership exercises the best management approach that embeds the three critical principles into its management practices; and the partnership acquires the capacity to facilitate the three essential phases to work integrally and synergistically in its management structures and processes, thereby the partnership is most likely to succeed. This is a phase- and principle-based management approach for a successful international partnership between universities. This theoretical framework is further elaborated in Chapter 4.5.

Based on this theoretical framework, the thesis conducts an empirical study on multiple universities engaging in international partnerships from different countries, to determine whether existing universities consider the three essential phases and the three critical

principles as important, and how they have developed and improved their management structures and processes to implement their international partnerships.

Overall, this study will be guided by the following main research question and five sub questions.

Main research question:

What might a phase- and principle-based management approach contribute to the understanding and success of international partnerships between universities, specifically in a Japanese context?

Sub questions:

- (1) Are the proposed three essential phases for success actually important in practice in international partnerships?
- (2) What are the critical principles and attendant practices in guiding a management practice that can integrally and synergistically facilitate the essential phases?
- (3) How are the current strategic management processes on the DDP model being implemented by Japanese universities, to what extent are they based on these critical principles, and what is the limit of their usefulness?
- (4) What are the key features of a comprehensive and organised strategic alliance, and what added value does such alliance provide that a partial and task-specific partnership may not in achieving successful international partnerships in the case of Japanese universities?
- (5) What are the implications of this phase- and principle-based approach for universities in Japan, which aim to tap into the potential benefits of international partnerships?

1.6 Main Research Choices

The focus of this thesis is to determine what a phase- and principle-based management approach might contribute to the understanding and success of international partnerships between universities. The end goal is to provide valuable recommendations to existing universities, assisting them to develop successful international partnerships. For this purpose, this thesis considers it helpful to examine the particularity of real management practices in different types of partnerships. Thus, this thesis will conduct case studies with multiple universities from different countries, engaging in different types of international partnerships. The data will be collected through the qualitative methods of semi-structured interviews. Documentation is another source of evidence to obtain basic information of the management

structures and processes of partnerships and universities. Through case studies, this thesis intends to determine:

- Are the three essential phases for success actually considered important in each partnership?
- Are the three critical principles actually considered important in each partnership?
- Which practices in each partnership facilitate the three essential phases as well as embody the critical principles?
- How have the partnerships' practices in the management structures and processes been developed and improved to maximise the chance of success of the partnerships?

This thesis looks into two types of partnerships. One is a partial and task-specific partnership relating to a double degree programme (DDP) between a Japanese university and its partners, which is an example of a standard management model, and the other is a comprehensive and organised strategic alliance between multiple universities from different countries, which is an example of the best management model. A DDP partnership is a basic, and presently the most popular type of partnerships in Japan and other countries. Therefore, it is an appropriate case study of a standard management approach of international partnerships. However, because it is a partial and task-specific partnership, it could be argued that the management of this type of partnership does not involve dealing with significant challenges and difficulties caused by the complexity of the partnership. Accordingly, a partial and task-specific partnership could derive a simple initial-stage management model, leaving considerable room for development.

In the second type of a comprehensive and organised strategic alliance between multiple universities from different countries, partnering universities collaborate in a broader range of activities and involve a wider range of people, departments, offices, etc. across all partners. Different from a partial and task-specific partnership, it can be imagined that this type of partnership could embrace greater complexity, and thereby more mature and sophisticated management structures and processes could be required to run a comprehensive partnership. It can also be envisaged that this type of partnership tends to require a certain degree of entrepreneurial spirit to ensure innovation occurs. Thus, a case study of a comprehensive and organised strategic alliance represents an investigation into the best practices of management approaches.

This study focuses on the standard practices and the best practices of the management approaches employed in these two types of partnerships. Considering the distinction of the two types, this study considers a comprehensive and organised strategic alliance (the best

practices) to be an evolved model of a partial and task-specific partnership model (standard practices), which is prevalent in Japanese universities. Furthermore, it attempts to identify which practices need to be developed for a standard international partnership to evolve into a more comprehensive and mature partnership. Thereby, this thesis aims to provide a number of helpful recommendations to Japanese universities.

Specifically, the following partnerships and universities are studied:

- A partial and task-specific partnership between a Japanese university and its partner. Two bilateral partnerships of a double degree programme will be studied. One partnership is that between the Faculty of Law of Kyushu University in Japan and the Centre for European Studies of the University of Leuven in Belgium. A second partnership is that between the Faculty of Engineering of Kyushu University and the Faculty of Engineering of Lund University in Sweden.
- A comprehensive and organised strategic alliance between entrepreneurial universities. The two universities studied here are the University of Warwick in the United Kingdom and Monash University in Australia.

Chapter 5.4 elaborates further details of the selection of the cases.

1.7 Structure

This thesis comprises seven chapters. The introduction chapter (Chapter 1) offers an outline of the argument and research concepts. The literature review in the following chapter (Chapter 2 and 3) elaborates the background knowledge underlying the theoretical framework of this thesis, which is relevant to the three themes, namely the ‘dynamics of international partnerships’, ‘entrepreneurial culture and international partnerships’, and ‘international partnerships in a Japanese context’. Chapter 2 will discuss issues of globalisation and internationalisation affecting higher education generally recognised in the literature. After that, international partnerships in higher education in general will be explored, and then the focus will turn to entrepreneurial universities in connection with partnership development.

Chapter 3 reviews the literature on Japanese higher education. International partnerships in a Japanese higher education context constitute one of the key themes of this thesis. The thesis empirically examines the current situation related to partnerships developed by Japanese universities to determine whether and how their management practice could be improved. To

provide a foundation for the empirical study, this chapter overviews the historical background and current state of internationalisation and international partnership development in Japanese higher education.

Chapter 4 introduces a phase- and principle-based management approach to successful international partnerships. Its theoretical framework, comprising the essential phases and critical principles, and their attendant practices, is then explained. Chapter 5 describes the research approach of the thesis, the reason why a case study method is employed, and the data collection and analysis.

Chapter 6 indicates the findings on the various cases based on the data analysis, which is then used to develop answers to the research questions. Chapter 7 presents conclusions including some recommendations for Japanese universities and the Japanese government derived from this study, the limitations of this study, and contribution to the literature.

1.8 Limitations

In higher education, there is a wide range of international partnerships, and they have varied scopes. International partnerships range from a simple bilateral student exchange agreement to a wider collaboration among more than three universities. Partnerships can also include comprehensive, broad collaborations, such as global consortia and networks. In terms of the scope of activities, partnerships can operate in many areas, including education, research, institutional capacity-building projects, industry linkages, and a combination of multiple areas. Within the field of education, partnerships are developed to implement collaborative degrees (joint, double or dual, and consecutive degrees), collaborative teaching or joint curricula, and large-scale projects of joint international campuses. There is a broad range of study areas within international partnerships; however, the area covered in this thesis is limited to three bilateral partnerships. One concerns multiple areas of scope, and the other two are limited to a DDP.

One limitation related to the focus of this thesis deserves attention. The subject of this study is a management approach for successful international partnerships. The management approach examined in this thesis is the process of dealing with and controlling administrative and social capital issues involved in an international partnership. Although governance is just as important as management for a successful international partnership, this thesis does not explicitly cover governance issues: that is one of its limitations.

The present thesis seeks to identify an optimum management approach for developing successful international partnerships. This concerns one of the most basic functions of management and is applicable to any kind of partnership. However, this study does not empirically identify the factors that are liable to affect success or failure of international partnerships. It is conceivable that similar levels of management maturity and similar styles of leadership are necessary for international partnerships to succeed—especially in the case of a comprehensive and strategic alliance. Because international partnerships are developed among different universities in different countries, institutional and national cultures could affect their success or failure. However, this thesis did not empirically assess such factors in international partnerships.

Moreover, this thesis understands that there are other fields of management that may affect the success or failure of a partnership that are not covered by this study. For example, financial management and quality control are critical for all university partnerships, and the management of student enrolment is also an important issue, especially for educational partnerships. Reputation management of both the partnership and the institutions participating in the partnership, concerns quality control, student enrolment, fundraising, and other elements. Safety management against unforeseen risks (including national policy changes) such as incidents or accidents is becoming more important under the increasing threat of terrorism. Because the mobility of students and researchers is essential for international partnerships, security issues pose a serious hindrance to their success. While the above elements are not discussed in any depth in this thesis, they are worth studying at a later time to provide a comprehensive discussion of the success of international partnerships.

CHAPTER 2

INTERNATIONALISATION IN HIGHER EDUCATION AND INTERNATIONAL PARTNERSHIPS

2.1 Globalisation and Internationalisation in Higher Education

Over the past few decades, the importance of globalisation and internationalisation has been increasing in various aspects of higher education, and not only in the academic activities of universities but also their economic activities. It is notable that large international economic organisations, such as the Organisation for Economic Co-operation and Development (OECD) and the World Trade Organisation (WTO), have begun exercising a power of controlling and conditioning education institutions. The OECD, sponsoring world-wide education assessment schemes including the Programme for International Student Assessment (PISA), is assuming a role “as arbiter of global education governance, simultaneously acting as diagnostician, judge and policy adviser to the world’s school systems” (Meyer and Benavot 2013, p.9). WHO included higher education as one of its concerns, “ensuring that the import and export of higher education be subject to the complex rules and legal arrangements of the WTO protocols and free of most restrictions” (Altbach 2015, p.2).

A number of scholars and professionals have admitted the influence of globalisation and internationalisation on higher education, explaining that internationalisation has become a driving force for both nations and higher education institutions to move forward. Higher education is currently undergoing a transformation and its traditional role and international dimension are rapidly changing (Deadorff et al. 2012, p.480). Globalisation and internationalisation now directly affect both national higher education policy and individual institutional policies.

Developing international partnerships is a relatively new phenomenon of internationalisation in higher education, and many scholars recognise it as one of the most effective strategies for universities to integrate international aspects into their education and research. In this regard, the author considers that universities, which move towards the development of international partnership strategies, need to understand how their academic duty might be influenced by globalisation and internationalisation. The following sections will see rationales of internationalisation frequently discussed in relevant literature, as well as adverse consequences of internationalisation.

2.1.1 Definition of Globalisation and Internationalisation

Globalisation and internationalisation are often confused and not easily differentiated because of the blurring of the concepts. A clear understanding of the difference and relationship between the two seems helpful at the beginning of a discussion on internationalisation in higher education. Referring to the relevant literature, a number of scholars present their own definitions of these terms. In Table 1, descriptions from previous studies on globalisation and internationalisation are organised and shown separately so that each definition may be compared.

Table 1. Definitions of Globalisation and Internationalisation

	Globalisation	Internationalisation
Knight (2003; 2005)	“Globalisation is defined as the flow of technology, economy, knowledge, people, values and ideas ... across borders; affects each country in a different way due to a nation’s individual history, traditions, culture and priorities; is a key environmental factor that has multiple effects—both positive and negative—on education; is presented as a phenomenon that affects internationalisation” (Knight 2005, p.4).	“Internationalisation at national, sector, and institutional levels is defined as the process of integrating an international, intercultural or global dimension into the purpose, functions or delivery of post-secondary education” (Knight, 2003, p.2).
Altbach (2004)	“Globalisation is defined as the broad economic, technological, and scientific trends that directly affect higher education and are largely inevitable. ... Academic systems and institutions may accommodate these developments in different ways, but they cannot ignore them” (2004, p.5).	“Internationalisation includes specific policies and programmes undertaken by governments, academic systems and institutions, and even individual departments or institutions to cope with or exploit globalisation. Internationalisation describes the voluntary and perhaps creative ways of coping; with much room for initiative, institutions and governments can choose the way in which they deal with the new environment” (2004, p.6).
Teichler (2004)	“Globalisation initially seemed to be defined as the totality of substantial changes in the context and inner life of higher education related to growing interrelationships between different parts of the world whereby national borders are blurred or even seem to vanish; the term (globalisation) tends to be used for any supra-regional phenomenon related to higher education (anything which seems to take world-wide) and/or anything on a global scale related to higher education characterised by market and competition (notably international competition for status and reputation as well as commercial knowledge transfer across borders)” (2004, p.23).	“Internationalisation can best be defined as the totality of substantial changes in the context and inner life of higher education relative to an increasing frequency of border-crossing activities amidst a persistence of national systems, even though some sign of ‘denationalisation’ might be observed” (2004, p.22-23).
van Vught et al (2002)	“Globalisation refers more to competition, pushing the concept of higher education as a tradable commodity, challenging the concept of higher education as public good” (2002, p.23).	“Internationalisation is closer to the tradition of international cooperation and mobility and to the core values of quality and excellence” (2002, p.23).

van der Wende (2007)	<p>“Inevitable as it may be, globalisation is at the same time mostly beyond the control of individual higher education institutions and governments; an analysis of globalisation will be imperative to explore the future opportunities and challenges for internationalisation” (2007, p.275).</p>	<p>“Internationalisation is a strategy to make higher education more responsive to the challenges of globalisation” (2007, p.286).</p>
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Knight (2008, p.1) simply says, “internationalisation is changing the world of higher education and globalisation is changing the world of internationalisation”. This remark may be helpful to grasp the general idea of the connection among globalisation, internationalisation, and higher education. Based on the above definitions, the characteristics of globalisation and internationalisation are conceptualised as follows.

Globalisation:

- (i) is any supra-regional phenomenon, such as the broad economic, technological, and scientific trends that affect the internationalisation of higher education by means of the flow of technology, economy, knowledge, people, values, and ideas across borders;
- (ii) is characterised by the market concept of higher education as a tradable commodity and competition for status and reputation as well as commercial knowledge transfer across borders;
- (iii) affects each country in a different way and has multiple effects—both positive and negative—beyond the control of individual higher education institutions and governments; and
- (iv) has inevitable effects, and academic systems and institutions may accommodate these developments in different ways.

Internationalisation:

- (i) is the process of integrating an international, intercultural, or global dimension into the purpose, functions, or delivery of higher education;
- (ii) can be described as a strategy of specific policies, multiple activities, programmes, and services undertaken by governments, academic systems, and institutions to cope with or exploit globalisation and make higher education more responsive to the challenges of globalisation; and
- (iii) brings substantial changes to the inner life of higher education amidst a persistent national system, and considerable room for initiative is reserved to institutions and governments so that they can choose the way in which they deal with the new environment.

Reviewing the concepts of globalisation and internationalisation described above, it may be said that in light of the influence of internationalisation at national and university levels,

internationalisation is a series of proactive actions and innovations taken by a nation or university to cope with the influence and challenges brought by a globalised environment. Each country is pressed to change their academic policy and systems, while each university is pressed to change or innovate their academic activities, organisation, and governance. Moreover, beyond individual national and university levels, a number of regional collaboration networks have emerged in higher education in the “process of promoting, recognising, and formalising opportunities for regional collaboration among national governments, non-governmental education bodies, and individual higher education institutions” (Knight 2012, p.30).

However, internationalisation is not a goal in itself, but rather a process to improve functions and the delivery of higher education at the institutional and national levels and to “improve the quality and relevance of higher education or contribute to the advancement of research for internationalisation” (Knight 2008, p.21). Although nations or universities are under pressure to confront globalisation, universities are given considerable freedom to innovate so that each may choose exactly how to confront globalisation, in other words, which system of internationalisation they may take.

Each nation or university makes efforts for internationalisation to attain their own goals. The goals of internationalisation may be attained independently or in collaboration with multiple nations and universities. The process of internationalisation totally depends on the goals to be achieved. This means that strategic internationalisation and the measures taken to implement such strategies should be matters of utmost importance for each nation and university. Therefore, it is central for them to maintain clear sight of their own goals in the changing environment under globalisation. Internationalisation affects how higher education institutions and systems conceive their missions and roles and “how fundamental paradigms of co-operation and competition in higher education are understood and elaborated” (Rumbley et al. 2012, p.23).

The goals set by a nation or university are closely related to the rationales for their internationalisation. The following section reviews the various rationales for internationalisation identified in the literature.

2.1.2 Rationales for Internationalisation

According to Knight (2008, p.24), “rationales are the driving force why nations and universities want to address and invest in internationalisation; and reflected in policies and

programmes that are developed and implemented”. Various rationales can be discussed in different countries, education systems, sectors, and institutions. Knight (2005; 2008; 2012) originally categorised existing rationales into four groups: (i) social/cultural rationales associated with national cultural identity, intercultural understanding, and citizenship development; (ii) academic rationales associated with the extension of academic horizons, institution building, profile and status, enhancement of quality, international academic standards, and international dimensions to research and teaching; (iii) political rationales associated with foreign policy, national security, technical assistance, peace and mutual understanding, national identity, and regional identity; and (iv) economic rationales associated with economic growth and competitiveness, labour market, and financial incentives.

As the blurring and integration of rationales occur across the categories, the importance of these rationales at national and institutional levels has emerged. National-level rationales of emerging importance include human resource development, strategic alliances, income generation/commercial trade, national building/institution building, social/cultural development, and mutual understanding. Institutional-level rationales include international branding and profile, quality enhancement/international standards, alternative income generation, student and staff development, and strategic alliances (Knight 2004; 2005; 2008; 2012). All rationales can have both positive and negative impacts on higher education. For example, profile and reputation building and commercial-oriented rationales are often stressed as having a negative rather than a positive impact, which is discussed below.

2.1.2.1 Profile and reputation building as political rationales

Political rationales have grown in importance in recent years but cannot be ignored. One of the growing rationales is world-class aspirations at both national and university levels. Competition among universities is provoked by their ambition to gain higher positions in world ranking tables and possess a world-class status. Many universities follow a profile-building rationale. However, world-class aspirations seem stronger at the national level than at the institutional level, and expectations raised by national policies demand that universities take action to ensure better reputations. For this purpose, national governments are likely to strategically emphasise research and “direct limited resources toward strengthening the research capacity at a small number of institutions” (Rumbley et al. 2012, p.14).

National policies such as assigning limited resources to a limited number of institutions are also evident in Japan. In 2014, the Japanese Ministry of Education, Culture, Sports, Science and Technology (MEXT) granted a large fund to implement the Top Global University Project to 13 selected universities who MEXT considered to possess the potential to be ranked in the

top 100 in the world university rankings within the next 10 years. This Japanese project is further discussed in Chapter 3.4.

Thus, world-class aspirations often encourage universities to develop branding strategies that require effective marketing campaigns rather than the genuine pursuit of academic excellence. What is concerning here is that “establishing an international profile or global standing is seen (by universities) to be more important than reaching international standards of excellence or improving quality” (Knight 2012, p.41).

2.1.2.2 Marketing and commercial-oriented rationales

Marketing and commercial-oriented rationales include the commercial trading of education, income generation, brain gain, human resource development, and other aspirations to produce economic benefits to countries and/or universities. For more universities and countries today, these rationales have increased in importance, sometimes in regard with the building of a world-class profile, and sometimes in connection with income generation because of a decline in national funding for higher education or as a part of national revenue. Although such economic rationales are only followed in a limited number of Western countries, “the impact of these countries is significant as they are the most active and aggressive in terms of international education” (Ibid., p.34).

Higher education is often discussed “in a free trade context as a commodity to be freely traded internationally” (Rumbley et al. 2012, p.22), as seen in the growing number of discussions on higher education in the General Agreement on Trade in Services (GATS) of the World Trade Organisation (WTO). It is a fact that certain universities and countries have seen internationalisation as a means to create an important source of revenue. Rumbley et al. (2012) admit that the emerging influence of commercialism is not negligible:

The diverse rationales for internationalisation may draw heavily from such issues as educational quality, intellectual relevance, and institutional strengthening, but they are not likely to be divorced from commercial potential, which is increasingly salient (p.22).

Another key issue affected by marketing and commercial-oriented rationales is the disparity between developed and developing nations. Developed nations that are coping with an ageing society, lower birth rates, or knowledge and professional labour races, typically have governments with stronger economic rationales. Those nations now play major roles in international brain gain competition in higher education.

The greying societies of Europe, North America, Australia, and Japan, are competing for top talent around the world, all of which need to fill the gaps in their knowledge economies. At the same time, they have to compete with the emerging economies in Asia, Latin America, the Middle East, and Africa, where such talents may be needed even more (de Wit and Merckx 2012, p.56).

From a policy perspective, higher education is becoming a more important actor and is now working in closer collaboration with immigration, industry, and the science and technology sectors to build an integrated strategy for attracting and retaining knowledge workers (Knight 2012, p.39).

2.1.2.3 Human resource development as social/cultural and academic rationales

Although marketing and commercial-oriented rationales have come to the fore, “traditional social/cultural and academic-oriented rationales are, nevertheless, still valid with a greater emphasis on the context of international education contributing to ‘the development of individuals, institutions, nations and the world’” (Ibid., p.32).

The phenomenon of emphasising contributions to human resource development is proved in the results of the 3rd and 4th Global Survey¹ conducted by the International Association of University (IAU 2010; 2014). The first-ranked rationale for internationalisation in the 3rd Survey was *Improving student preparedness for a globalised/internationalised world* with 30% of all votes, followed by *Internationalise curriculum and improve academic quality* (17%). The 3rd Survey also asked respondents to rank the most significant benefits of internationalisation and *Increased international awareness of students* was selected as the most significant benefit (24%). These results showed a close correlation between the first-ranked rationale and benefits. The 4th Survey did not ask question about rationales but rather benefits, and revealed *Increased international awareness of deeper engagement with global issues by students* as the most popular vote (32%). The second-ranked benefit was *Improving the quality of teaching and learning* (18%). These results consistently show that higher education institutions attach considerable importance to human resource development by means of the increasing international awareness of students and improving the quality of teaching and learning.

In the context of higher education, human resource development equates to student and staff

¹ The 3rd survey covered all regions of the world, and 745 higher education institutions answered the questionnaire. The 4th survey covered 1,336 institutions located in 131 countries in all regions of the world, with twice as many responders as in the 3rd survey.

development; that is, fostering international and intercultural understanding and the skills of students and staff (Knight 2004, p.4) are deemed important. Moreover, the development of staff, both academic and non-academic, is vital to improve the quality of research, teaching/learning, and services, all of which traditionally guide the evolution of universities and their contribution to the social, cultural, scientific, and economic development of a nation and its people (Knight 2012, p.40). In this light, enhancing the understanding of students and staff, both academic and non-academic, on global issues and their skills to work and live in culturally diverse environments will improve the overall academic quality of universities.

2.1.3 Adverse Consequences of Internationalisation

Globalisation has produced various phenomena influencing higher education. These phenomena have both positive and negative impacts. One example of a positive impact is knowledge improvement in the areas of knowledge transfer from one country to other through various means including books, electronic media, the physical mobility of students and faculty, joint curricula and research projects, and transnational education (Teichler 2004, p.10-11). However, as many scholars have pointed out, various unintended consequences of internationalisation have introduced many changes to higher education. As globalisation advances, a so-called “knowledge society” has emerged (Drucker 2001). In the knowledge society, competition over economic benefits and human resources or talents arises among universities. Such competition seems likely to create winners and losers and there is a risk of the potential meltdown of indigenous higher education (Brown et al. 2011, p.92; Naidoo 2011, p.51-52; Mohd 2011, p.59). Thus, the emergence of the ‘knowledge society’ and its influence are discussed below.

2.1.3.1 Knowledge economy

Drucker (2001) predicted the coming of a highly competitive society, called the knowledge society, where knowledge is a key resource and knowledge workers become the dominant group in the workforce. In a knowledge society, knowledge is not hindered by borders, there is an increase in the mobility of people seeking formal education, and knowledge is transformed to the means of production required for a job or economic success.

Given the ease and speed at which information travels, every institution in the knowledge society—not only businesses, but also schools, universities, hospitals and increasingly government agencies too—has to be globally competitive, even though most organisations will continue to be local in their activities and in their markets (Drucker 2001).

A knowledge society produces a knowledge-based economy, defined by Powell and Snellman (2004, p.201) as “production and services based on knowledge-intensive activities that contribute to an accelerated pace of technological and scientific advance as well as equally rapid obsolescence.” A knowledge economy leads the transition from “a manufacturing-based to services-driven economy” (Ibid.), affected by the advancement of computer technology. Furthermore, technological change has increased the demand for higher skilled labour, ensuring a greater contribution to the productivity of highly educated workers than to the productivity of less-educated workers. Powell and Snellman (2004, p.211-212) also state that, “productivity gains in turn lead to an increase in the demand for highly educated workers.”

Moreover, GATS is focusing on higher education as one of the key service sectors (Altbach 2004, p.22; Knight 2002, p.5). It is now obvious that the importance of higher education in the knowledge economy has increased. “Higher education has assumed unprecedented importance, both within countries and internationally, because of its roles in educating people for the new economy and in creating new knowledge” (Altbach 2004, p.5).

2.1.3.2 ‘Brain gain’ and ‘brain drain’

As the knowledge economy grows, investment in human capital (i.e., investment in education and training individuals) to enhance the quality of the workforce has become a key issue for national economic growth. This is especially true for developed nations confronting an ageing workforce and a skill shortage, and they now tend to focus on securing foreign talent to sustain their economy (Brown et al. 2011, p.91). This situation describes the phenomenon called the ‘brain gain’. Nations and universities are eager to attract international students and scholars for the purpose of acquiring strong human resources. At a national level, this phenomenon is provoked by economic as well as political rationales, as gaining human capital contributes to research and knowledge production, which makes the labour market more attractive to strengthen international competitiveness. At an institution level, universities are often more interested in gaining brainpower, generating income, and building a world-class reputation.

Some nations, especially those interested in importing education, regard human resources that can contribute to research and knowledge production as the “key components of a country’s nation-building agenda” (Knight 2004, p.4). This does not mean, however, that both developed and developing nations benefit from internationalisation. Behind nation building, there is another emerging issue where brain gain by developed countries results in brain drain in developing countries.

2.1.3.3 The war for talent

Aspirations to exploit foreign talent are likely to cause brain drain in emerging countries. This phenomenon poses a risk of leaving emerging economies with a lack of the critical skills necessary to attract foreign inward investment (Brown et al. 2011, p.92). Thus, winners and losers potentially emerge among nations.

Winners and losers are also created within a developed nation, such as the United States, the United Kingdom, and Japan. The war for talent leads companies to only target elite universities and ignore graduates from less prestigious institutions. This produces a biased situation where graduates from less prestigious universities are not offered an equal chance of employment and earnings as compared with graduates from elite universities, even though they were all conferred an academic degree. The competition of talent has also created global market competition among universities. This has led universities to play reputation or branding games to attract the top talent from international student markets. Universities are often benchmarked based on the public ranking of the world's top universities; consequently, universities worldwide pay close attention to their rankings (Ibid., p.95).

These phenomena may create a vicious circle, centred by economic performance and involving universities, students, and the job market. Brown et al. (2011) express concern over this issue:

When university rankings are taken to reflect differences in the calibre of students, where students are positioned within the academic status hierarchy is likely to have a significant impact on success in the job market (p.136).

This positionality regarding academic status is of significance not only to companies and universities, but also to the students themselves. Students tend to study for an increasingly extended period to qualify for most occupations because, in the current knowledge-oriented society, education in relationship to the labour market has a strong positional element. However, the intrinsic value of knowledge and intellectual stimulation is not primarily a matter of positionality. Higher education has been increasingly characterised by strong instrumental orientation (Alvesson 2013, p.93).

2.1.3.4 Commodification of higher education

As global trade and the market economy continues to grow, as does the instrumental orientation of education. Thus, a key concern has arisen worldwide, that education is transforming into a global commodity. Altbach (2002, p.2) states, "it (education) is

increasingly seen as a commodity to be purchased by a consumer in order to build a ‘skill set’ to be used in the marketplace or a product to be bought and sold by multinational corporations, academic institutions that have transmogrified themselves into businesses, and other providers.” Naidoo, Jameison, and Knight put forward a similar view when they write about the issue of the *raison d’être* of education: “changes associated with globalisation and the knowledge economy have given rise to developments which apply pressures on universities to commodify teaching and learning” (Naidoo and Jameison 2005, p.38). These phenomena can lead to “more for-profit providers, programmes of questionable quality, and a market-oriented approach”, and “challenge the traditional notion of education as a ‘public good’” (Knight 2002, p.5).

In fact, the commodification of higher education introduced private for-profit institutions into the marketplace, and developing countries have become important destinations for these education providers (Naidoo 2007, p.4). At the same time, the disparity inter- and within countries, between richer and more elite universities and mass institutions, are likely to grow (Green et al. 2012, p.440). The worst scenarios predicted to result from commodified education might be the deterioration of quality in education (caused by the blind belief that high profit-making ‘skill sets’ are the best) and educational disparities where only rich countries and rich people enjoy learning opportunities. Green et al. (2012, p.440) also state “the heightened role of competition for students and revenue carries the risk of putting traditional academic values in jeopardy and affecting future access for poor or marginalised students”.

2.1.3.5 Knowledge imperialism

Educational disparities can produce knowledge imperialism where developed or more powerful nations exploit developing or less powerful nations for economic benefit and human resources. Knowledge imperialism is characterised not only by the exploitation of economic benefits and human resources but also by a hegemonism that erodes a less powerful nation’s education system, indigenous values, and culture (Naidoo 2011, p.51-52). Furthermore, it not only occurs between the powerful and the weak, as knowledge imperialism can emerge within a nation where winners exploit losers in terms of job and earning opportunities and learning opportunities.

Globalisation and imperialism can destroy a country’s culture and religion. Regarding former colonial countries, Sidhu claims, “the idea of ‘educating’ the other is presented as a national investment to consolidate neo-colonial power” (as cited in Alvesson 2013, p.92). Similarly, Naidoo (2011, p.42, 52) points out, “Western values and market-based democracy are

expected to provide the norm against which other cultural forms and political and economic regimes are measured. Transnational higher education is guilty of cultural imperialism”.

In Islamic countries, for example, globalisation is seen as a new approach by which Western hegemony is imposed on the political, economic, social, and cultural aspects of people in the East (Mohd 2011, p.59). Mohd (2011, p.65) comments on the negative impacts of westernisation, secularization, materialism, and neo-imperialism on Islamic society and culture: “secularism is opposed and contradictory to the Islam life style where people live very much attached to their religious beliefs; and the western idea of knowledge as value free is directly opposed to the Islam concept that knowledge is sought for the enlightenment of the human soul that brings man closer to God.”

2.1.4 Motives for Developing International Partnerships in Global and International Higher Education

As discussed above, internationalisation reflects various new kinds of competition and conflict involving stakeholders of higher education. Competition often encourages innovation and excellence, yet all nations and universities are subject to many risks that stem from powerful forces of international competition without carefully considering what outcomes are truly desirable and achievable (Rumbley et al. 2012, p.21).

As the internationalisation of higher education has become a global trend, some concerns have emerged among scholars and those involved in higher education. One concern is the growing investment spent on commercial-oriented initiatives. Alvesson (2013) expresses his deep concern on the emerging value crisis within education:

With the expansion of higher education and increased competition for jobs and a general intensification of the positional goods qualities of educational credentials and the general decrease in quality, higher education as an arena for cultivating intellectual development as an intrinsic value has lost much of its significance (p.93-94).

De Wit (2011a, p.1) advocates the importance of a “more integral process-based approach aimed at a better quality of higher education and competencies of staff and students”. Internationalisation is not a precise goal but “a process to introduce intercultural, international, and global dimensions in higher education; to improve the goals, functions, and delivery of higher education; and thus to upgrade the quality of education and research” (Ibid., p.6). For example, profile and reputation building, which is a popular rationale for universities

worldwide, may not be a goal in itself but may be achieved as a sequel to the quality of teaching, learning, and research.

International partnership development, which is the subject of the present study, is a key element of the internationalisation process. (This issue is discussed further in Chapter 2.2.) Accordingly, universities' motives in developing international partnerships need to be discussed along the lines of social values. International partnerships can contribute to introducing intercultural and international dimensions to education and research (de Wit 2011a, p.6). By contrast, international partnerships are also associated with the risks of commercially oriented motives and negative social values, which stem from international competition.

Internationalisation is in the hands of each nation and university, and they need to keep sight of their goals in the changing environment. Thus, each nation and university can decide which scenario they will follow. If each individual university is responsible, even partially, for the future of higher education, they have to be more conscious about what motivates them in terms of internationalisation as well as the consequences of their actions to achieve the goals. In this light, Knight (2012) advocates for more comprehensive and harmonious perspectives on internationalisation:

Any examination of internationalisation needs to take into account the differences among countries and regions of the world recognising that priorities, rationales, approaches, risks, and benefits differ between east and west, north and south, sending and receiving, and developed and developing countries (p.27-28).

To be responsive to the societal needs and demands, universities should implement all university activities in an innovative and creative way. It is a different property to a commercial motive, though they both may reinforce each other. Universities need to break with an inward-looking culture and develop an outward-looking entrepreneurial culture. To a greater or lesser extent, tensions could arise as part of the entrepreneurial transformation; however, if properly managed, they could result in university creativity.

To close this section, a statement by the International Association of Universities (IAU) is quoted. The association, acknowledging the possible adverse consequences of internationalisation as well as its benefits, asks higher education institutions to take the following action:

... revisit and affirm internationalisation's underlying values, principles and goals,

including but not limited to: intercultural learning; inter-institutional cooperation; mutual benefit; solidarity; mutual respect; and fair partnership, ... act as responsible global citizens, committed to help shape a global system of higher education that values academic integrity, quality, equitable access, and reciprocity (IAU 2011, p.4).

2.2 International Partnerships in Higher Education

2.2.1 Growing Importance of International Partnerships

Nowadays, international partnerships are recognised as one of the most effective methods for the adoption of internationalisation by universities. Circumstances today require that universities confront the surging waves of globalisation and their changing environment by finding a way to internationalise their activities. Thus, international partnerships have become essential tools for universities in the 21st century. Robinson (2004, p.179) states that international partnerships between universities represent “new kinds of organisations” with “the most profound changes in universities and their operations are coming from globalisation, with its demand for new kinds of organisations and new ways of doing business.” De Wit (2011b) attributes the emergence of international partnerships to globalisation as follows:

... the growth of associations, consortia and networks in higher education in the second half of the 20th century and in particular in the last decade, is a reflection of the globalisation of society and the response of higher education to this process (p.45).

Globalisation drives universities to develop partnerships. Universities need to find a way to reinforce their education and research to enhance and sustain their academic strengths against the growing pressures of globalisation. With this view, they strive to engage in cross-border research and education to enhance the transnational competence of their faculty and students, and thereby enhance the institution's profile and reputation (Koehn and Obamba 2012, p.373; Knight 2012, p.33).

Under such circumstances, many universities consider co-operation with other universities, or public and private organisations, as the most effective way to enhance academic strength, and they are becoming keen to develop various activities in the form of partnerships. Kinser and Green (2009, p.2) indicate that co-operation can help institutions compete, enabling them to accomplish with others what they could not do alone. Koehn and Obamba (2012, p.371) also state that a university's value is determined by the set of resources it can mobilise through its

international partnerships. The growing recognition that academic internationalisation is as much a process of outward engagement as internal restructuring, and the increasing need for academic institutions to position themselves within emerging global systems of higher education, are impelling many universities to develop international partnerships (Sutton and Obst 2011, p.13-14).

2.2.2 Types and Scope

2.2.2.1 Bilateral academic exchange agreement and purpose-specific international partnerships

Traditional international partnerships are mostly in the forms of academic exchange agreements or memoranda of understanding. These are often simply referred to as exchanges, or no more than friendship agreements, that only mentioned a general framework such as encouraging academic co-operation without descriptions of specific projects. Many universities find their existing partnerships are plentiful in number but thin in substance, and such partnerships do not reflect strategic planning, as they are not seen as integral to the institutional mission (Sutton 2010).

More advanced models of agreement provide more purpose-specific educational and research partnerships covering the comprehensive mobility of students, faculty, and administrators, which include double and joint degree programmes, collaborative teaching and curriculum development, and joint research. These partnerships can lead to significant levels of mutual understanding and co-operation such as providing international experience to participants and integrated curricula offerings that extend the resources of each partner (Van de Water et al. 2008, p.23).

2.2.2.2 Transnational education partnerships

Much broader international collaborations have been developed in recent decades. These collaborations relate to the international, intercultural, and global dimensions of teaching, research, and service and delivery, and cover campus-based activities and mobility initiatives between countries. Such collaborations in education are often called transnational, cross-border, offshore, or borderless education (Knight 2005, p.4-9). The general principal of ‘transnational education’ is that students can study towards a foreign qualification without leaving their home country, and not only the students but also the programmes and providers cross national and regional boundaries (McNamara 2013, p.12). Their delivery mechanisms vary and can include independent provision via international branch campuses, collaborative provision via joint or double degrees, franchise/twinning programmes, articulation agreements,

and validation programmes (Ibid., p.15).

Many institutions offering transnational education programmes do so at the invitation of the government of the host country and with its financial backing. Thus, host countries are often seen prime movers of transnational education. The importance of using transnational education is emphasised in academic capacity building in terms of knowledge transfer from foreign partners, the professional development of teachers and research staff, and the retention of a skilled workforce. In terms of economic impacts, revenue generation occurs via international student recruitment and the development of a service- and knowledge-based economy through the production of an educated and skilled workforce (Ibid., p.55). However, “providing programmes abroad is a labour-intensive and expensive undertaking and cannot be undertaken without a sound business plan” (van de Water et al. 2008, p.23).

2.2.2.3 International collaborative degree programmes

Collaborative degree programmes, namely joint, double or dual, multiple, and consecutive degree programmes, have become a popular method worldwide for internationalisation in higher education (Kuder et al. 2014, p.4). The most well-known international academic collaboration framework may well be Europe’s Erasmus Mundus or Erasmus Plus, which aims to develop joint and double degree programmes between European universities and foreign universities. As its success in promoting inter-university collaboration by means of joint and double degree programmes becomes more evident, international collaborative degree programmes are recognised as an effective instrument for both intra-regional and inter-regional co-operation, and have the potential to become more numerous and influential in the coming years (Knight and Lee 2012, p.343, 350).

Not limited to Europe, the interest in curriculum collaboration and collaborative study programmes has spread to all regions worldwide, and “a growing number of higher education institutions as well as governments and funding agencies worldwide have engaged in developing their respective strategies and policies with regard to joint and double degree programmes” (Obst et al. 2011, p.8). According to the 2011 international survey on Joint and Double Degree Programmes in the Global Context conducted by the Institute of International Education,² the top ranked motivations for developing joint and double degree programmes (although double degrees are more common than joint degrees) are broadening educational offerings, strengthening research collaboration, advancing internationalisation, and raising

² A total of 245 higher education institutions from 28 different countries responded to this survey. The top six responding countries were Australia, France, Germany, Italy, the United Kingdom, and the United States.

international visibility/prestige (Ibid., p.6). Collaborative degree programmes have increasingly received government support and are an important factor influencing cross-border delivery (Burgess and Berquist 2012, p.328).

2.2.2.4 Multi-institutional networks

Broader and multi-purpose and multi-institutional networks include institutional and professional organisations such as student networks, university and rectors' conferences, administrator and practitioners' associations, scholarly networks, and quality assurance and accreditation bodies. The number of organisations of these kinds has grown in recent years, and purposefully incorporate an international focus into their membership and activities (Rumbley et al. 2012, p.18). The growth of such partnerships seems to be endorsed by the expectation to sustain and reinforce the academic strength of member universities. Even though there are many partnerships carrying association, consortia, network, or conference in its title, their nature differs according to what they intend to do with the partnerships.

De Wit (2004, p.34) distinguishes between three types of international multilateral partnerships: academic associations, academic consortia, and institutional networks. According to his classifications, an academic association is united for a common single purpose based on individual membership, is academic and discipline based, and faculty driven. An academic consortium is a group of academic units (departments, centres, schools, institutions) combined for the single purpose of fulfilling a contract to bringing together a number of different areas of specialised knowledge. An academic consortium can be either faculty or leadership driven, but may rely on a strong faculty commitment with an academic purpose. Both academic associations and consortia can develop into multipurpose partnerships.

Nowadays, major international and regional economic and political partnerships increasingly include higher education in their agenda. Various institutional partnerships have been created under the frameworks of, for example, the Erasmus in Europe, Social, the Cultural and Educational Pillar under the Asia–Europe Meeting, Education Network under the Asia-Pacific Economic Cooperation, the Socio-Cultural Community under the Association of Southeast Asian Nations (ASEAN) and ASEAN Plus Three Cooperation, and the Southeast Asian Ministers of Education Organisation. Therefore, all national-level strategic international partnerships in higher education relate to political and economic rationales to contribute to a country's own national interests. Knight (2008, p.26) points to the phenomenon of the rationale shift from partnerships for cultural purposes to those for economic reasons. De Wit (2004, p.32) similarly remarks, “the emergence of international networks is strongly linked to

economic rationales and academic rationales.”

2.2.2.5 Expanding the scope of collaborative activities

The landscape of international partnerships was relatively limited in the early days, such as student and faculty exchange and research collaboration; however, collaborative activities now cover a broad scope of academic enterprises. Currently, international partnerships developed by universities appear in many forms, including the following: student, faculty, and staff mobility to enhance teaching, student learning, and staff development; cooperative and collaborative degrees (joint conferral, double or dual, and consecutive degrees); collaborative teaching (face-to-face or online); overseas campuses to provide broader access to higher education in different countries; collaborative research and training to expand research capacity; cooperative development and institutional capacity-building projects (procedures, policies, resources, and infrastructure needed for institutional advancement); collaborative academic operations to bring together faculty, students, and curricula from two institutions (an academic unit at the other institution, a jointly established unit, shared space at a branch campus in the other country); and projects involving organisations, businesses, and communities (Gatewood and Sutton 2016, p.3–7).

2.2.3 Significance of International Partnerships for Universities

Many universities consider collaboration with other foreign universities, especially high-profile universities, to be the most effective way of achieving academic, scientific, cultural, and economic goals, and generally it is difficult for a university to achieve these goals alone. However, irrespective of being involved in international competition or motivated by an economic rationale, international partnerships produce benefits to all universities in terms of academic improvement. Academic co-operation created by developing a partnership of universities introduces new activities and programmes from an international perspective to each party's teaching arena. International research collaboration has also become increasingly popular and important. Central to this trend is the rising sense that most cutting-edge research can be most effectively achieved when leveraging the expertise of a strong international team (Rambley et al. 2009, p.18). As such, international partnership development brings the new perspectives on academic activities, which can be a driver of internal culture change within universities.

Many universities place international partnerships as a key element in their long-term strategies, and the way that an international partnership is directed can be central to the

success of internationalisation strategies (Fielden 2011, p.4-5). Through partnership collaboration, universities in different countries have much to gain from each other in terms of their long-standing goals of internationalisation (Sutton and Obst 2011, p.14). They can complement and learn from one another, and such collaboration extends a university's capacity to undertake activities that it could not engage in alone (Kinser and Green 2009, p.2). With the growing importance of collaboration in internationalisation strategies, international partnerships—linkages and collaboration—must be placed at the centre of internationalisation programmes of universities (Sutton 2010, p.60).

Sutton et al. (2012, p.148) advocate the benefit and significance of more organised partnerships, whether specific purpose or multipurpose, which involve all the departments, offices, and institutions of the partner universities. Such partnerships, which Sutton et al. call “transformational partnerships”, can change or transform entire departments, offices, and institutions via the generation of common goals, projects, and products. In transformational partnerships, resources are combined and the linkages are regarded as a source of institutional growth and collaborative learning (Ibid., p.152).

Furthermore, various scholars highlight the favourable impact of international partnerships on not only departments, offices, and institutions, but also students, faculty, and administrative staff. For example:

Partnerships have the potential to be transcendental, enabling students, faculty, and institutions to both understand but also go beyond their settings (Ibid., p.162).

Engagement in cross-border research and development partnerships extends and deepens faculty and staff interaction with overseas innovators, opens up faculty and student research opportunities, enhances the transnational competence of one's own faculty and students, and facilitates brain circulation (Koehn and Obamba 2012, p. 373).

Knight and Lee (2012, p.350) indicate that at the national level, profile, status, capacity building, and competitiveness appear to be the primary rationales guiding the establishment of collaborative programmes. Furthermore, some developed countries perceive such programmes as a way to attract talented students who may want to stay to work after graduation and perhaps immigrate permanently. Universities in developing countries also have a capacity-building motive but one that differs from that in developed countries. They may see the potential for capacity building through collaborative programmes with developed countries because they indirectly verify the quality of their programme (Ibid., p.349).

It is worthy to note that “collaborative degree programmes can lead to a deeper level and more sustainable type of relationship than many other internationalisation strategies, and consequently they bring important academic benefits” (Ibid., p.349). Knight and Lee (2012) elaborate on the main academic benefits brought by collaborative degree programmes:

- The strengths that each institution brings to the programme and the opportunities it allows for students to benefit from a programme that draws on the teaching, curricular, and research expertise of two or more institutions located in different countries;
- Academic benefits in terms of innovation of curriculum, exchange of professors and researchers, and access to expertise at a partner university and its research networks; and
- It is definitely an opportunity for innovation and extension of programme curriculum and research projects (Knight and Lee 2012, p. 345, 349, 350).

While it is clear that a collaborative degree programme can bring immense benefits to a university’s academic domain, developing and sustaining an inter-university collaborative degree programme is not so simple. For universities to enjoy the given academic benefits, it is highly important that universities understand the issues related to the legality and recognition of a jointly conferred qualification and how to cope with them. “Quality assurance and accreditation are fundamentally important, and they pose significant challenges for international joint, double, and consecutive degree programmes” (Ibid., p.353).

2.2.4 Success Factors for International Partnerships

Developing an international partnership is recognised as a core activity that drives a university’s internationalisation. Through the experience of partnership development, a university’s innovativeness and adaptability, which are essential for creating changes, can be enhanced. Therefore, it is worth understanding how universities can develop and sustain a partnership, both international and intra-national.

Sutton et al. (2012, p.156) state that an institutional capacity for “flexibility, adaptability, and openness to change” is essential for universities to support new initiatives such as partnership development. To support the new initiatives accompanying cooperative arrangement, universities need to adapt existing practices to serve a fresh agenda; in other words, renovate old embedded structures and procedures in an adaptable and flexible manner, without assuming them obsolete (Kinser and Green 2009, p.20). There are substantial discussions in the literature on what should be considered to successfully develop a partnership. By referring

to the relevant literature, this section seeks to identify those elements that are recognised as essential for international partnerships between universities.

2.2.4.1 Life cycle of international partnerships

Each partnership has a life cycle of multiple phases of evolution. While the definition of life cycle varies among researchers depending on the phases and how many phases exist in a life cycle, the concept of the evolution process is similar for all. Here, this section introduces classifications from three studies; two focus on higher education and is the other on business partnerships. The classifications are summarised in Table 2. The borders of the phases in each classification are not strict and blur the boundaries contrasting with other classifications.

Van de Water et al. (2008, p.27-41) provides two major phases: a developing phase and an implementing and sustaining phase. At the initial phase, “the first step must be a thoughtful discussion of how a partnership fits institutional goals and the priorities of the international agenda.” It is a process of building a strategy, for example: assessing the demand for a university or a programme resulting from a partnership; seeking external and internal funding support; deciding what type of partnership is to be developed, building a completely new project or renovation based on some existing partnerships; and evaluating the impact of the external environment, for example, the influence of national and regional policy frameworks.

The selection of a partner that fits in with the strategy is the next important step. Once a partner is selected, mutual institutional visits occur to “confirm a good match and reaching agreement on major components of the partnership” (Ibid.). It is important in this negotiation stage to anticipate potential problems. Such problems can be caused by differences between partners, including asymmetrical levels of interest and commitment between partners as well as difference between language and culture, educational quality and standards, teaching methodologies, student and faculty expectations and customs, and evaluation and accreditation standards and practices. Other issues can also arise, relating to legal issues, possible shifting priorities and goals of the university.

In the implementing and sustaining phase, as defined by Van de Water et al. (2008, p.47-53), a project is launched by providing human and financial resources. The partnership then enters the middle stage with a focus shift to sustaining the project. In the middle stage, a partnership works through any necessary improvements to adjust to unexpected changes and problems, which can be caused by unexpected changes and differences between partners. Responding to evaluation results to maintain quality is also important to sustain a project. A successfully sustained partnership with proper quality control can reach the maturity stage. Any

comprehensive evaluations of accomplishments to date and plans for the future are required in the maturity stage to generate new opportunities for co-operation.

Table 2. Phases of Partnership Life Cycle and Key Points (Van de Water et al. 2008; Kale and Singh 2009; Davies 1991)

Van de Water et al.	Developing		Implementing & Sustaining			
	Creating the strategy of a partnership. Seeking external and internal funding support. Deciding what type of partnership should be developed. Evaluating the impact of the external environment. Confirming a good match with a partner and reaching agreement. Anticipating potential problems, which can be caused by differences.		<i>Middle stage</i> Focus shifts to sustaining the project. Adjust to unexpected changes and problems. Respond to evaluation results to maintain quality. <i>Maturity stage</i> Comprehensive evaluation of accomplishments to date and plan for the future to generate new opportunities for co-operation.			
Kale and Singh	Formation & Partner Selection	Governance Design	Post-formation Management			
	Partner complementarity. Partner compatibility. Partner commitment.	Equity sharing or ownership. Contractual provisions. Relational governance (self-enforcing governance to enable partners to work together).	Coordination mechanisms between partners. Clarifying guidelines of tasks carried out by each partner. Creating a formal structure with authority and decision-making abilities. Overseeing ongoing interactions between partners. Facilitating information and resource sharing. Developing trust between partners. Conflict resolution.			
Davies	Development	Initiation	Growth	Consolidation	Stagnation	Decay & Termination
	Determination of need; Specification; Development; Validation.	Presentation and promotion of activity: - Appropriateness; - perceived quality; - qualification; - credibility.	Progressive institutionalisation: - resources allocated; - structures set up; - procedures developed; - growth of support; - legitimacy; - growing familiarity.	Review of progress. Adaptation to changing circumstances and quality improvement.	Progressive inertia: - inability to respond to challenges and criticism; - poor review processes; - rigidity of offerings; - loss of clientele; - loss of support and legitimacy. - increasing deficit.	Crisis: - enrolments, finance, and quality fall below permissible minimum; - decision to wind-up operation or seek merger.

Kale and Singh (2009, p.47-51) identify three phases in the life cycle of business alliances: an alliance formation and partner selection phase, an alliance governance and design phase, and a

post-formation alliance management phase. The alliance formation and partner selection phase involves selecting a partner of fit. Partner complementarity, compatibility, and commitment are crucial in partner selection. In the alliance governance and design phase, proper governance mechanisms are designed and implemented. The governance mechanisms need to produce equity sharing or ownership, establish mutual rights and obligations by contractual provisions, and create self-enforcing governance to enable partners to work together relying on reciprocal goodwill and trust. The post-formation alliance management phase concerns management structures and processes to coordinate between partners. Such management needs to clarify guidelines for tasks carried out by each partner, create a formal structure with authority and decision-making abilities, oversee ongoing interactions between partners, and facilitate information and resource sharing. Trust needs to be developed between partners in both the structural component (provided by an accountable governance structure and contractual agreement) and the behavioural component (which builds the partners' reliability and integrity). A conflict resolution mechanism is necessary. Otherwise, conflicts may escalate and cause serious problems.

The third life cycle, devised by Davies (1991), describes a longer life cycle till reaching termination and comprises six phases (stages): development, initiation, growth, consolidation, stagnation, and decay and termination. Davies's life cycle is elaborated in greater detail in Chapter 4.2.1.

2.2.4.2 Managing partnerships

The importance of appropriate governance and administrative structures and processes for managing a partnership is advocated by Van de Water et al. (2008), Burgess and Berquist (2012), Sutton et al. (2012), Fielden (2011), Kinser and Green (2009) and many other scholars. Initiating and maintaining successful partnerships requires an appropriate administrative structure with clear accountability and decision-making ability to "coordinate the development of a strategy for partnerships and the consultation and approval process", and also coordinate between partners (Van de Water et al. 2008, p.11). The necessity of effective governance in facilitating a partnership is also mentioned in the previous section on life cycles.

When partnership management is deliberated, the discussion needs to cover a broad range of management areas including policies and strategies, governance and decision-making structures, operating processes, human resource management, and financial management, and all other relevant matters necessary to facilitate and sustain partnerships.

Duke (2002, p.152) states that, "governance is largely about accountabilities". If so, it is of

great importance that a governance structure consists of a senior management team from both partners in the decision-making body as well as champions from faculties and administrative units. Fielden also advocates that governance attributes largely to leaders' skills and a different range of skills is required depends on a stage of life cycle.

At the start when the partnership is being developed one set of skills is most valuable; when it is operational, another set applies, but when it has to change or develop (as it always will) a wholly new portfolio of competences may be needed (Fielden 2011, p.3).

2.2.4.3 Senior management and champions

As partnership development takes a core role in a university's internationalisation strategy, it is crucial that senior administrators from all major administrative and academic units are involved in the discussion on the initiation and development of international partnerships. Setting the vision and strategy is one of the most important roles of senior administrators (leaders), and moreover, they must know when to support and seize other opportunities that may arise (Ibid., p.2). Engagement and support from the university's senior management is invaluable to ensure stakeholders clearly understand the importance of partnerships that connect to the goals of the institution and encourage their proactive participation (Duke 2002, p.152).

Champions play essential roles to initiate, implement, institutionalise, and sustain partnerships. Senior administrative leaders, such as the president and Vice-President, can be champions, and leading academics such as faculty deans, committees, and governmental offices can also serve as advocates for partnerships (Tubbeh and Williams 2010, p.13). Champions play a role at the inception stage as they show support for the partnership, and faculty members serve as the bridge between student learners and administration by creating curricula, identifying student learning goals, and delivering course content to students (Ibid.). In this capacity, champions' roles relate to the most substantial part of partnership activity. Good outcomes and the sustainability of partnerships rely on the efforts of champions and faculty working with champions. Every level of champion involved in a partnership brings a unique contribution and all are critical for the ultimate success of partnerships (Holly 2010, P.114).

2.2.4.4 Leadership for coordination

Supportive leaders are essential to hold together a partnership, and these leaders possess the necessary institutional knowledge and social connections to obtain financial and physical resources, and build approval for programme goals throughout the community (Holly 2010, p.110). They should have a high level of respect in the field, good relationship skills, and the

ability to lead a group to create common goals and shared vision. In other words, they must be part diplomat, attorney, counsellor, and soothsayer (Eddy 2010, p.27; Tubbeh and Williams 2010, p.10). Leaders also need to be flexible and creative to cope with unpredictable situations that may arise in a partnership, and envision solutions to such dilemmas. Patience and perseverance are indispensable leadership qualities for a successful partnership (Kinser and Green 2009, p.17-18).

2.2.4.5 Coordination between partners and between internal organs of a university

A university's work is multipurpose, and so is a partnership between universities. "Pursuing multiple agendas without coordination or developing enclaves of activity independently and inefficiently pursuing similar goals" can hinder achievement (Kinser and Green 2009, p.12). Likewise, partnership development is one of the university's critical activities with multiple agendas. Therefore, thoughtful coordination with not only external partners but also internal partner organs is required to secure a sustainable partnership. Involving a university's governing body in decision-making is particularly important, if the project is likely to have a financial or reputational risk (Fielden 2011, p.3).

In light of the management structure, cross-institutional coordinating mechanisms are necessary. These can include a partnership steering board or committee, where representatives from all partners gather to craft memoranda of understanding and lead the planning, implementation, and review of all partnership activities. In addition to management structures, there is a need for a coordinating function to spread a supportive atmosphere for partnerships across the university community so that the partnership activities may become institutionalised into the fabric of the university for their sustenance beyond the initial funding cycle and the passion of champions (Amey 2010, p.57).

2.2.4.6 Human resource management

As an organisation supporting champions to initiate and implement a partnership, it is essential that an appropriate project management team, which is able to competently resource and manage an operation of significant complexity, is established. The management team can comprise staff with appropriate skills, selected from university administrators or developed in a professional training scheme (Burgess and Berquist 2012, p.333). Such skilful administrative staff play significant roles in operating complex machinery such as an international partnership. Mintzberg (1983) describes the function of administrative staff (usually non-academic) as "support staffers" to smoothly and effectively operate the complex business:

... complex machinery requires specialists who have the knowledge, power, and flexible

working arrangements to cope with it. The result is that support staffers emerge as powerful members of the organisation, drawing power down from the strategic apex, up from the operating core, and over from the middle line (Mintzberg 1983, p.273).

Considering that multiple universities jointly work in a partnership, it is imaginable that more complex machinery is required to operate an inter-institutional organisation beyond a single organisation. Such complex organisations may not be able to work without specialist administrators. The selection of the right person to oversee the operation is crucial (Fielden 2011, p.3).

Maintaining a career development path for the professional growth of both leaders and key administrative staff is important. Every change in key leaders and staff members can create uncertainty as to whether their successors will hold the same beliefs and expectations for the partnerships as the former leaders. Consequently, such uncertainties may affect the sense of trust between the partners (Jie 2010, p.52). Therefore, it is crucial that universities continue to develop human resources with the full knowledge of the partnership, good communication skills, and a sense of recommitment, and continue to supply skilled persons to the partnership.

It is another important issue in human resource management that universities have employment and reward policies to encourage staff to engage actively in partnership activities. For faculty members, leaders need to ensure that their policies could encourage faculty members to teach and conduct research abroad, in the hope that when they return their skills will have been enhanced (Fielden 2011, p.3). The reward issue is also discussed in the following section.

2.2.4.7 Institutionalisation

It may be possible that a partnership is initiated and implemented only with those people directly involved in the partnership, and the rest of the university community is uninvolved or even unaware of what is going on. Such fragmentation can be a key factor behind the failure of partnership development (Kinser and Green 2009, p.11-12). To avoid indifference, even mitigate opposition from the university community, and to institutionalise the partnership activities into the fabric of the university, it is crucial that the partners are “spreading the partnership activities across multiple arenas, engage multiple constituencies, and build a large network of supporters” (Sutton et al. 2012, p.156). For this purpose, it is necessary to implement an appropriate mechanism to institutionalise partnership activities into the community. As faculty members’ understanding, support, and participation sustain a partnership, a university might want to take account of academic reward structures that are

effectual to direct the community's attention to the partnership and to make the partnership attractive to them (Kinser and Green 2009, p.20). Tubbeh and Williams (2010) also remark on the faculty's position and the necessity of reward structures in an international partnership:

... given the changing nature of academe as a globalised entity, international education partners must look to the faculty as a distinct stakeholder, constituent, ally, and contributor to international efforts – and when faculty members do contribute to international education partnerships, their efforts must be rewarded (2010, p.9).

2.2.4.8 Enhancing the learning capacity of institutions and individuals

To sustain a partnership it is essential to create administrative systems and measures that regularly review the performance of a partnership, identify problems, work to resolve identified problems, make necessary reforms, and decide on termination (Burgess and Berquist 2012, p.333; Sutton et al. 2012, p.158). The ability to go through this process is founded on the knowledge and skills acquired through learning from experiences. For the enhancement of learning capacity, human resource management seems to occupy an important part of institutional learning because the specifications of the partnership are subject to interpretation over time (Kinser & Green 2009, p.10-11) from person to person.

Learning capacity is also supported by relevant documentation among the community. For example, an inventory of existing affiliations is helpful to assess levels of activity and provide the basis for decisions concerning improvement, continuation, and dissolution (Sutton et al. 2012, p.156). Creating a long-term record and memory of partnerships helps avoid duplication, and moreover, documenting international expertise on campus and making it easily accessible to faculty, administrators, and community groups will help guide them in developing sustainable linkages (Van de Water et al. 2008, p.11).

2.2.4.9 Enhancing communication, trust, and commitment

Communication, trust, and commitment are essential to create a cooperative relationship. When all three elements are working effectively, it creates a good multiplier effect within the partnership. Excellent communication, internally and between partners, can create a trust relationship among participants, and enhance the commitment of all participants within a partnership. Sutton et al. (2012, p.156) identify the following factors as being crucial for the success of a partnership: “devoting time to building and sustaining the relationship, communicating frequently, dealing with disagreement, and maintaining trust through fairness, integrity, and the honouring of commitments.”

Between partners in particular, they need to devote their efforts to ensure mutual contributions.

For a sustainable partnership, each party must substantively commit to the arrangement and cooperate within an agreed framework. One-sided partnerships are hard to establish and impossible to maintain; hence, contributions are required from all parties (Kinser and Green 2009, p.4). In this context, information symmetry is necessary between partners, where each partner clarifies “what is to be provided by each side in a transparent manner that also addresses possible inequalities of resources and imbalances in exchanges” (Sutton et al. 2012, p.156). Thus, good communication can create trust among actors collaborating in a project, and trust can enhance the level of commitment of the actors involved.

According to Sutton et al. (2012, p.156), an organisationally appropriate partnership should clearly fit with the institutional mission and values, and partners need to make a good institutional match based on missions, strengths, community connections, and partnership goals. However, partners, as individual and distinctive organisation, will naturally respond to different stimuli and have their own internal definitions of success. The most obvious source of conflict, therefore, is the inherent differences in the partners’ agendas (Kinser & Green 2009, p.10).

Even though partners will not find completely common values in the partnership, if they maintain communication and a trust relationship they will be able to understand and respect their partner’s values to create a cooperative relationship. On this issue, Jie (2010, p.53) suggests that, “partner institutions should constantly visit their expectations for collaboration to ensure a shared understanding around potential outcomes and preferred strategies. Leaders and involved staff members should attend to these issues through tactful and open communication.” Thus, it is essential to operate a partnership on the basis of shared decision-making, reciprocity, mutual benefit, and collaborative determination of goals and projects (Sutton et al. 2012, p.156).

2.2.4.10 Coordinating institutional cultures

Culture is another element for partnerships. Heffernan and Poole (2005, p.228-229) describe culture as the fourth important factor after communication, trust, and commitment, “given its contextual significance to international education partnerships.” Differences in organisational cultures among the relationship partners seem to be more problematic and significant than differences in national cultures. Therefore, cultural factors should be considered, especially at the early interaction stage of the relationship (Heffernan and Poole 2005, p.229, p.241-242).

To manage the conflict caused by both national and organisational cultural factors, Heffernan and Poole (2005, p.241-242) suggest that trust development is critical early in the relationship

to provide an indication of what is necessary to develop clear communication processes and systems (e.g., face-to-face meetings and the commitment of representatives from all partners) to discuss and understand the differences of organisational culture. Fielden (2011, p.3) also suggests that problems can be resolved by the exercise of patience and cautious understanding. Those implications appear to be closely connected with communication and trust. Thus, good communication and mutual trust between partners can resolve the dissonance caused by cultural differences.

2.2.4.11 Providing financial resources

Providing financial resources from central funds to create or encourage partnerships is essential (Fielden 2011, p.2). “People and policies will not be able to achieve much without the necessary financial resource to carry out the change and sustain it over time” (Nolan and Hunter 2012, p.133). The increasing importance of partnerships asks institutions to provide some baseline funding and support for enabling effective communication at a distance, seed grants for faculty, students and administrators to become involved (Sutton et al. 2012, p.156).

2.2.4.12 Towards a theoretical framework of a management model for successful international partnerships

The literature review conducted for this section revealed the types and scope of international partnerships currently being developed among universities; the review also addressed the significance of international partnerships as part of the internationalisation process of universities. Universities recognise that developing an international partnership is a core activity that drives their internationalisation; they understand that such a partnership can produce benefits in terms of institutional growth and academic improvement. Therefore, the present thesis aimed to determine how universities are able to develop and sustain a partnership and identify the most important factors in success, i.e., ascertain the management approach that is most likely to lead to a successful international partnership. To that end, this thesis first examined the relevant literature to identify various success factors indicated in previous studies. Those identified success factors provided the basis for determining the best management approach for successful international partnerships.

The present thesis explores those success factors in the literature on entrepreneurialism of universities (Chapter 2.3) and organisational study in a higher education context (Chapter 4.2). This thesis then synthesises the success factors identified in the literature and develops a theoretical framework of a management model for successful international partnerships.

2.3 Entrepreneurial Universities

As the competitive world of higher education grows, universities are increasingly challenged by new demands (Altbach 1991, p.273). Universities are required to engage in the pursuit of opportunities beyond the means currently available, and to be capable of finding new ways that can mix with traditional procedures (Clark 2001, p.23; 1996, p.426). “Nowadays, the main external pressures affecting higher education systems can be probably identified as belonging to the demand side of the academic market” (Mora and Villarreal 2001, p.61). Governments also can provide external pressures by restricting their financial contributions to academic institutions. In responding to such external pressures, universities need to develop the capacity of acting responsively, i.e., adopting new management methods, searching for new funding sources, and trying to obtain the most significant portion of the new market (Mora and Villarreal 2001, p.61).

A university that is capable of acting accordingly to meet external forces and responding to new demands can be described as an entrepreneurial university. As an entrepreneurial university will increasingly fit the temper of the times (Clark 2001, p.23), it is crucial for universities in the 21st century to seek a way to be entrepreneurial so that they may improve the quality of education and research, and, for some universities, become internationally competitive. “The entrepreneurial response has become a growing necessity for all those universities that want to be a viable, competitive part of the rapidly emerging international world of learning” (Ibid., p.11).

Entrepreneurial universities are often discussed in the context of their economic and social impact. The present dynamic environment surrounding universities (particularly the uncertain financial situation with respect to shrinking public funds) has resulted in universities seeking funding from other sources through their own efforts. Such impetus of universities has led them to engage in new activities by linkages with government, industry, and social enterprises. The relevant literature categorises such new activities as third-stream or third-mission activities. Government policies also support the commercialisation of academic research and various forms of engagement with non-academic communities (Kitagawa et al. 2016, p.744). Under the circumstances, governments have emphasised the extent of universities’ third-stream or third-mission activities, and universities are under growing pressure to become more entrepreneurial (ibid., p.737).

Third-stream or third-mission activities require that universities take on a more commercial approach. Thus, from the viewpoint of universities’ traditional purpose of providing

knowledge as a public good, those activities tend to produce adverse social impacts of commercialisation, marketisation, or capitalisation of knowledge. Third-stream or third-mission activities may also cause tensions and conflicts among universities. For example, a preference for near-to-market research may cause tensions between departments that produce such research and other departments; it can also have adverse side effects on more traditional activities related to academic freedom and open research (Fuller et al. 2017, p.4).

However, adopting a commercial approach is not the only means for universities to become entrepreneurial; Gibb et al. (2009, p.18) stated, “The entrepreneurship concept is not at all wholly synonymous with marketisation.” Fuller et al. (2017, p.4) also suggested that universities can engage in ‘soft’ activities, such as public lectures and consulting, which conflict less with traditional university missions; third-stream or third-mission activities are viewed as ‘hard’ activities.

As a result, the present thesis approaches entrepreneurship as indicated below. It adopts the approach of Gibb et al. for universities to pursue the best management practice towards minimising possible tensions and conflicts that might arise among departments and individuals; the aim is to allow all university’s activities to cope with an environment of uncertainty and complexity.

- The debate about entrepreneurial universities does not have the narrow focus of commercialisation of intellectual property; it covers all university activities that is an effective response to an environment of growing uncertainty and complexity; and
- Entrepreneurship has been identified as an individual or organisational behavioural and development response to uncertainty and complexity; it is broadly relevant to citizens and organisations of all kinds: private, public, and autonomous (Gibb et al. 2009, p.27).

Consequently, this thesis adopts the stance that entrepreneurialism concerns responsiveness to societal needs and demands in both a proactive and reactive manner. In this context, responsiveness is the motive to implement all university activities in an innovative and creative way: it is different from a commercial motive, though they both may reinforce each other. To be socially responsive, universities need to break with an inward-looking culture and develop an outward-looking entrepreneurial culture. To a greater or lesser extent, tensions could arise as part of the entrepreneurial transformation; however, if properly managed, they could result in university creativity.

What are the features of entrepreneurial universities that courageously pursue institutional changes? Davies (2001, p.27) indicates that a willingness to take risks and experiment with new things is a common characteristic of entrepreneurial universities. According to Clark (2001, p.10, 19, 23), entrepreneurial universities are self-initiating, self-steering, self-regulating, and self-reliant, as well as progressive. They have a forward-looking orientation and a willingness to seek out new frontiers of knowledge. Entrepreneurial universities are learning universities. Without a learning capability, it is difficult for universities to find new methods that mix well with traditional procedures. Duke (2002, p.7) states that, "In fast-changing times, with new clienteles, demands and expectations, new social, economic and environmental problems and circumstances, they must of course learn to change and to do new things in new ways." Thus, entrepreneurial universities are proactive, innovative, and learning to change themselves to adapt to new external circumstances.

By contrast, certain characteristics would make it difficult for a university to be entrepreneurial: "being inward looking; problem avoidance; atomization into individual or small group endeavours; absence of self criticality; undue reliance on convention and the rule book to the detriment of strategic analysis and genuine problem-solving; and a wondrous repertoire of tactics to stall or even bury initiatives" (Davies 2003, p.59). Clark (2001, p.20) also warns that, "organisational sleepiness becomes more costly: snooze away for a decade and you become an outmoded institution."

Universities need to learn continuously from their own experiences, and based on this learning they are able to develop future wisdom (Clark 1996, p.429). Entrepreneurial universities are 'learning organisations', that are able to maintain cycles of self-enhancement, namely the ability to evaluate themselves, learn collectively from experience, and transfer the essence of experience across the university (Davies 2001, p.28; Clark 1996, p.429). Entrepreneurial universities are those that successfully install "new structures, processes, and orientations whereby a university becomes biased toward adaptive change" (Clark 1998, p.4).

2.3.1 Growing Entrepreneurial Universities

With the considerable expansion of international activities in higher education that have come with the emergence of a highly competitive international market, universities do not always sit easy with traditional collegial and bureaucratic cultures. However, they are being driven into entrepreneurial modes of behaviour at a corporate level. It is the power and capacity of self-reformation that distinguishes entrepreneurial universities from traditional universities. What then stimulates universities to implement various changes to become entrepreneurial?

Altbach (1991, p.266) indicates that, “the majority of reform have stemmed from external stimulus.” The external stimulus causes a crisis that might encompass severe financial loss or significant economic setbacks in the industrial infrastructure of the region (Davies 1987, p.88). The first step in the reform process is to identify the problems requiring change (Altbach 1991, p.267), and those problems are likely to be caused by external rather than internal pressures. Davies (1987, p.89) states that, “It seems that only a powerful external threat on which the president could capitalise would be capable of sustaining elements of the ‘Big Bang’.” Having identified the external threat, it is crucial for universities to clearly focus on the crisis or problems and establish robust mechanisms to find workable solutions (Davies 1987, p.88; Altbach 1991, p.267).

Davies (1987, p.89) also indicates that the ‘big bang’ does not tend to be the norm in most universities and the need for a sudden major strategy is normally unlikely. While elements of the big bang are evident under certain conditions and for certain parts of the university are requisites for change, a more incremental approach is likely to dominate (Ibid.). The process of reforming traditions usually takes a modest and incremental approach (Altbach 1991, p.273). This incremental approach is derived from the accumulated knowledge and practices that universities have gained from experience, on the basis of what they have already built. Clark (1996, p.417) describes innovative universities as those that are able to gain future sustainable wisdom by means of exploring new ways of organising knowledge and of more effectively exploiting the fields in which they are already engaged. Clark (Ibid.) further elaborates:

... sustainable wisdom will more likely follow from the ways that some productive, collective enterprises go about organising themselves to engage selectively in the proliferating base of knowledge. In universities, the selective efforts include recombination of old fields as well as risk-taking investment in new fields. ... It (future wisdom) is less likely to come in the form of large shifts in paradigms and more likely to consist of incremental gains in understanding the present and estimating the future (p.429).

It is noted here that the impetus to change described above can be particularly seen in the internationalisation process of universities. Universities striving for internationalisation need to have a willingness to invest in new fields and explore new ways of effectively exploiting such fields. In addition, the ambition to make changes and explore new things by means of effective organisational tools matters a great deal (Clark 1996, p.428). In this respect, internationalisation strategies can be a focus of discussion as effective organisational tools for

making changes. The next section will investigate internationalisation, relevant strategic issues, and the entrepreneurialism of universities.

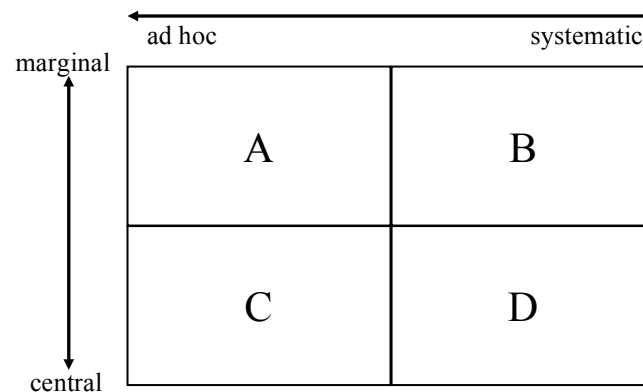
2.3.2 Internationalisation Strategies and Entrepreneurial Universities

For universities to develop international activities, they need a robust framework comprising a clear mission, comprehensive strategies appropriate to that mission, adequate resources, and effective management (Davies 1995, p.3, 5).

“Strategies reflect the notion of a more planned, integrated and strategic approach” to internationalisation (Knight, 2007, p.221). Knight (Ibid.) argues both programme strategies and organisational strategies are necessary for the internationalisation of educational institutions. Programme strategies refer to initiatives that are academic in nature or related to the teaching, learning, training, research, advising, or supporting activities of the institution both at home and abroad. The strength of the academic initiatives is clearly central in internationalisation strategies, “in terms of the quality of programmes; their breadth and depth; their flexibility and adaptability to changing international opportunities and threats (variable delivery mechanisms; learning opportunities; credit flexibility etc.); and strategic alliances with other providers in an international context” (Davies, n.d.).

Having formulated programme strategies, it is another challenge to implement such strategies (Davies 1995, p.15). Organisational strategies on policies, procedures, structures, the investment of both finance and human resources, and other supporting infrastructures are indispensable to facilitate programme strategies and sustain the international dimension of the university (Knight and de Wit 1999, p.17-23). Using a matrix to identify the characteristics of various internationalisation approaches used by universities, Davies (1992, 1995) views the internationalisation of universities in terms of proactive modes of policy formation and the institutionalisation of those policies. Based on this analysis, he then identifies two dimensions. One dimension is the degree of systemization of procedures and structures on a scale from ad hoc (a sporadic, irregular, knee-jerk way) to highly systematic (a precise and explicit way). The second dimension is to what extent internationalism is embedded on a scale from relatively marginal (a low profile in the university mission, low income expectations, a stimulating addendum to the predominant focus) to highly central (permeating every aspect of institutional life), as illustrated in Figure 1 (Davies 1992, p.187-190; 1995, p.15-16).

Figure 1: Approaches to the Internationalisation in Universities (Source: Davies 1992, p.190; 1995, p.16)



Universities' approaches to internationalisation can evolve from the most unsystematic mode with limited activity (Quadrant A) to the most systematic mode with comprehensive activity (Quadrant D). However, the highly systematic modes of Quadrants B and D do not mean becoming rigid or bureaucratic, but rather creative, inspired, and opportunistic so as to encourage innovation. Systematisation must not only provide such a framework for creativity and entrepreneurship to continue to flourish, but should prevent the endless creation of one-off procedures to meet every new eventuality. Problem-solving capability is thus a strong element in B and D (Davies 1995, p.17).

The specific elements in each Quadrant described by Davies (1995, p.15-16) are as follows:

Quadrant A: ad hoc—marginal

The amount of international business is relatively small. Research linkages will largely be confined to motivated individuals and arrangements for changing and financing are variable and unsystematic. Little specialism exists in personnel or organisational form. A weak database exists on opportunities. Competitions and trends in the international market place and little systematic assessment of opportunity occurs. Internationalism is low in the mission and on the planning agenda. Incentives are usually non-existent.

Quadrant B: systematic—marginal

The amount of international business is still relatively small, but is well organised and coordinated. Areas of international activity are precisely identified, and correspond with fields of internal strength and marked opportunity. Projects and effort are focused on particular market segments in which the university will endeavour to become expert and

niche marketing is usual. Costing and pricing are accurate and realistic. A small number of institutional agreements are meaningful and work. Supporting procedures are clear and relevant. Staff training is limited but related.

Quadrant C: ad hoc—high centrality

The amount of international business is considerable across a number of different categories and a wide range of market segments and client groups. Whereas there may be some strong areas, marketing is usually ill focused. Curriculum may not be particularly geared to international issues in any coordinated way. Acceptance of projects is usually on a “knee-jerk” basis. Costing and pricing are eccentric. There is a tendency for a sizeable number of institutional agreements, many of which are not operational but largely rhetorical. Central marketeers often generate business which faculties and individuals resent and reject, but the financial imperative is strong. Tensions are rife. Support services are often not geared to considerable international effort, and ground rules change with bewildering rapidity. Quality control is haphazard and often related to periods of crisis in international projects.

Quadrant D: systematic—high centrality

There is a large volume of international work in many categories, which reinforce each other and have intellectual coherence. The international mission is explicit and followed through with specific policies and supporting procedures. The database is extensive and regularly updated. Agency arrangements exist in overseas countries, as do partner institutions for the delivery of programmes, with clear and effective operating procedures. Personnel and curriculum policies are continually appraised and readjusted to support the international effort. Financial management is highly systematic, as are inter-institutional linkages. Substantial financial commitment to international projects is apparent. A dedicated organisational structure to support a range of international efforts is in place, and the tension that exists between these organs and mainstream faculties is usually constructive. Reward and incentive mechanisms are properly used. Systematic quality monitoring occurs.

The next section explores what mechanisms enable universities to become entrepreneurial.

2.3.3 Enablers of Entrepreneurial Universities

To facilitate the inner organs of the university becoming entrepreneurial, universities need to develop strong governance and management mechanisms. Governance—as exercised by

boards of trustees or governors for overall university policy, positioning and strategy, and by senates or academic councils for academic policy and oversight—provides strategic direction setting and assumes accountability of management for good performance and institutional sustainability. Management—as exercised by presidential teams, deans, etc.—consists of leadership and driving functions to achieve aims through all institutional domains and processes. With regard to governance and management of entrepreneurial universities, Davies (2001, p.28) points out that a firm policy framework, coupled with relatively loose operational control, is required to facilitate individual creativity. An explicit policy framework with carefully designed processes and support mechanisms could systematically facilitate entrepreneurial activities (Ibid., p.30). Clark (1996; 1998) advocates a mechanism of five essential tools or an infrastructure by which universities become an innovative organisation. The tools are encapsulated below, referring to Clark's work as well as relevant literature.

A strengthened steering core

Once a reform has been determined, the implementation of the reform plan, the most challenging part of the process, can be accomplished by committee (often ad hoc), administrative fiat, or by other means (Altbach 1991, p.268). It is essential that such a decision-making and implementing body is “a strengthened and better integrated administrative core, central group or small set of central groups that acts on behalf of the university as a whole while also reaching down into the organisation to connect to basic units” (Clark 1996, p.427). It is also crucial that a strengthened steering core embraces central managerial groups and academic departments with the participation of both faculty and administrators (Clark 2001, p.18; 1998, p.5). A steering core can be a senior management group that plays a catalytic role in organisational change, manifesting strong and visionary presidential leadership and clear presidential initiative (Davies 1987, p.88, p.92).

While the steering core needs to be strong enough to govern the university, if it is too rigid (e.g., insisting on the status quo) and displays inflexible management, it can damage the potential of an entrepreneurial culture. Relatively loose operational control can facilitate individual creativity (Davies 2001, p.28). The steering core needs to demonstrate inspired leadership, leading to a mutually enriching relationship among university members. Thus, all members may “learn to be collaborative team workers and self-managers” (Duke 2002, p.154), which enhances learning and the entrepreneurial culture of the university.

An extended developmental periphery

Clark's developmental periphery is a set of organisation programmes and specific operational units largely, but not wholly, outside the traditional departments, and it fashions new

environmental relationships as it flexibly reaches outside old boundaries. These programmes and units can be professionalised outreach offices, project-oriented research centres, or other non-traditional programmes/units that mediate between traditional departments and the outside world and have a flexibility in that they are relatively easy to initiate and to disband (1996, p.427; 1998, p.6). The organs in the development periphery conduct external business in many different places and through many different professional methods (Duke 2002, p.84).

A diversified funding base

Entrepreneurialism is also about financial consciousness. Any funding base that frees up discretionary funds is essential (Davies 2001, p.28; Clark 1996, p.427; Clark 1998, p.6). Entrepreneurial universities are able to commercially exploit available opportunities, and to generate surpluses that may be used to invest in further development, or meet deficits incurred by government financial loss, declining enrolments, or other academic business (Davies 2001, p.28, 29). Furthermore, it is unwise to maintain a high degree of financial dependence on a single mainline source (Clark 2001, p.14).

A stimulated heartland (institutionalisation)

A stimulated heartland is “an activation of the traditional basic units of the university in which the new organisational vision and the new organisational ways become widely embodied in the university at large” (Clark 1996, p.428). Creating an internal network of traditional units as well as newly developed units is crucial to embed organisational visions in the culture of the university. A university incapable of internal networking will not excel externally to manage the new, wider world (Duke 2002, p.84).

The process of a stimulated heartland is sometimes referred to as ‘institutionalisation’ by other scholars. “The process of institutionalisation involves the embedding of the reform, or of the new institution, into the academic fabric” (Altbach 1991, p.265). The stabilisation or institutionalisation of organisational elements is vital to facilitate the full implementation of entrepreneurial and adaptive activities (Davies 1987, p.89, P90). Altbach and Davies describe the importance of institutionalisation in the process of implementing reform:

It is not enough to design a new programme, department, or even institution. It is necessary to ensure that the reform is accepted by the academic system and that it is carefully institutionalised into the system. Institutionalisation may necessitate continuing resources provided to support the reform (Altbach 1991, p.265).

The first phase—the loosening-up of the existing situation—is principally about

creating a climate in which change is acknowledged to be necessary both for the well-being of the organisation, and the self-interest of its participants and clients. ... Organisations like universities need to institutionalise innovations, in order to reduce ambiguities and the mess created by the continual inventions of ad hoc procedures for essentially the same issue across the university (Davies 1987, p.89-90).

An integrated entrepreneurial culture

An entrepreneurial culture is the one that embraces change. A new culture may start out as a relatively simple institutional idea about change and later advance into a set of beliefs that develops into a university-wide culture (Clark 1998, p.7). Practices play essential roles in creating an entrepreneurial culture as Clark explains:

Strong cultures are rooted in strong practices. As ideas and practices interact, the cultural or symbolic side of the university becomes particularly important in cultivating institutional identity and distinctive reputation. In the transformation of universities, values or beliefs may lead or follow the development of the other elements (Ibid.).

Davies (2001, p.32) describes the role of practices as facilitators or constraints in the development of an entrepreneurial culture in that, “developing the appropriate context, procedures and instruments will condition and channel behaviour in strategically desired directions”. Likewise, these facilitating practices (or instruments) should capitalise on academic motivations and their fundamental academic and personal interests (which include professional and financial interests). Otherwise, attempts to develop an entrepreneurial culture are unlikely to be very successful, given the prevailing orthodoxies of collegial cultures (Ibid., p.33).

2.3.4 Learning Organisation

Entrepreneurial universities are learning universities. Duke (2001, p.143) explains that, “the successful university, the entrepreneurial university, has to be a learning university”. With learning capability, universities are able to change and engage in new activities by fusing with traditional ways. Therefore, entrepreneurial universities do not emerge within a short timeframe. The process of becoming an entrepreneurial university is incremental and it is essential to learn from past experiences and to turn learning into innovation. In other words, entrepreneurial universities are able to evaluate themselves, learn from experience, and transfer the essence of experience across the university (Clark; Davies; Duke).

Clark (1997, 2001) describes entrepreneurial universities as self-initiating, self-steering, self-regulating, and self-reliant, and how they successfully install new structures, processes, and orientations in the art of management. In the same context, Duke (2002, p.143) points out that in terms of learning universities, the intrinsic value of self-management (which is more relaxed and flexible) for producing and facilitating learning environment: “The learning *environment* can be managed, fostered and facilitated, and the wider environment monitored, influenced and massaged into relative benevolence.”

Those previous studies indicate that learning capacity and management to foster and facilitate the learning environment are critical for creating entrepreneurial universities and work reciprocally. The five essential tools mentioned above, namely a steering core, an extended developmental periphery, a diversified funding base, an integrated entrepreneurial culture, and a stimulated heartland, are essential for universities to enhance learning, and therefore, genuine management structure and processes are necessary to produce and facilitate the five essential tools. Duke describes the most suitable management model for learning universities as follows:

Most important is not a tidy structure with the right number of layers and lines of responsibility and control but an arrangement for managing energies, meeting objectives and ensuring accountabilities which enables internal and external networking, opens up core business options and enables the learning university to adapt, respond and grow. Enabling productive partnership across disciplines, and across the sometimes historic and destructive academic-administrative divide, should be central purpose and outcome (Duke 2002, p.150).

2.3.5 Entrepreneurial Universities and International Partnership Development

Based on the literature review, entrepreneurial universities are defined in this thesis as:

- proactive and innovative organisations with a forward- and outward-looking orientation and willingness to take risks and demonstrate adaptive behaviour (e.g., install new structures, processes, practices and orientation towards adaptive changes);
- capable of acting accordingly to meet external forces and change themselves to adapt to new external circumstances;
- capable to create internal network of all organs in the university as well as external network of professional community;
- capable of maintaining a cycle of self-enhancement by means of exploring new ways and

further effectively exploiting the fields in which they are already engaged; capable of self-management by providing effective management structures and processes to manage, foster, and facilitate learning environment;

- capable of evaluating themselves, learning from experience, and transferring the essence of experience across the university; and
- capable of creating genuine management structures and processes that are highly systematised to implement comprehensive entrepreneurial activities and to produce and facilitate the five essential tools: a steering core, an extended developmental periphery, a diversified funding base, an integrated entrepreneurial culture, and a stimulated heartland.

Turning to international partnerships in the literature, it appears that developing an international partnership in which multiple universities from different countries jointly implement a wide scope of academic activities entails new opportunities for universities beyond traditional means. Universities striving to develop international partnerships must be innovative, eager to make studious efforts for self-enhancement, and possess the capacity for changes to occur within the university. International partnership development is recognised by many universities as a key element in their long-term internationalisation strategies to confront the surging waves of globalisation and changing environment, and response to the increasing societal needs and demands of internationally competent education and research. In this context, a university's capacity for international partnership development correlates closely with its entrepreneurial nature, and therefore entrepreneurial universities are most likely to achieve successful international partnership development.

The correlation between entrepreneurial universities and partnership development has been referred to in several previous studies. Davies (1998, p.42) argues that international partnerships (Davies used the term 'inter-institutional alliances') are of substantial importance as a lever in institutional change and development, and "the formation of sound international partnerships, or strategic alliances, like inter-institutional consortia of universities, is likely to be a pre-requisite of entrepreneurial success in a competitive setting" (2001, p.41). External partnerships with the industrial and professional community are vital to the actual process of achieving internal change, which is necessary to respond to the pressure and opportunities (Davies 1987, p.91).

Partnerships also have positive effects in learning enhancement. The diversified markets surrounding universities that cannot be seized or served single-handed provide universities with enhanced forms of learning, that is, a partnership with other universities or education providers. For example, e-learning, which has rapidly grown since the 1990s, "requires

multiple partnerships, bringing together complementary expertise, reputation and skills with larger amounts of capital than any university can raise alone” (Duke 2002, p.81).

The entrepreneurial cultures of universities and their preparedness for international partnership development are reciprocal and have a mutual effect. The success of an international partnership is underpinned by the entrepreneurial and adaptive institutional cultures. At the same time, the experiences and practices, both academic and administrative, stemmed from international partnerships are important elements in the normative re-educative process, without which universities will not purposively change (Davies 1987, p.91). Thus, for the sake of ascertaining the success factors of international partnerships, it is important to understand the characteristics of entrepreneurial universities and identify the essential elements that make a university an entrepreneurial university.

2.4 Conclusion

This chapter consulted the relevant literature to define ‘globalisation’ and ‘internationalisation’ that internationalisation is a series of proactive actions and innovations taken by a nation or university to cope with the influence and challenges brought by the globalisation of the environment. With globalisation, various new kinds of competition and conflict have emerged within higher education, including world rankings, student recruitment competition, and knowledge and professional labour race. Under such circumstances, many universities consider cooperating with other universities or organisations as the most effective way to enhance academic strength, and they are becoming keen to develop various activities in the form of a partnership. Partnerships have become essential tools for universities in the 21st century, as developing collaboration with foreign universities (especially high-profile universities) is the most effective way of achieving their academic, scientific, cultural, and economic goals. Through partnership collaboration, universities in different countries can complement and learn from one another, and such collaboration extends a university’s capacity to undertake activities that it could not engage in alone (Kinser and Green 2009, p.2).

Competition often encourages innovation and excellence. However, competition has both favourable and adverse consequences. Growing investment spent on commercial-oriented initiatives causes student recruitment competition, professional labour race, knowledge imperialism, and commodification of education. Therefore, universities’ motives of developing international partnerships need to be discussed along these lines of social values. International partnerships can contribute to introducing intercultural and international

dimensions to education and research (de Wit 2011a, p.6). By contrast, international partnerships are not far away from risks of having commercial-oriented motives and complying with negative social value, which stem from international competition. Internationalisation including partnership development is in the hands of each nation and university, and they need to keep sight of their goals in the changing environment. Thus, each nation and university can decide which scenario they will follow. If each individual university is responsible, even partially, for the future of higher education, they have to be more conscious about what motivates them in terms of internationalisation as well as the consequences of their actions to achieve the goals.

International partnerships cannot be developed in a brief period of time. Because of the complex nature of international partnerships in which two or more universities from different nations and with different national and organisational cultures and norms work together, the management of a partnership requires a range of systems. This thesis attempted to understand how universities can develop and sustain international partnerships and what are the most important factors in success, that is to say, what is the management approach that is most likely to an international partnership to success. For this purpose, this chapter first consulted the relevant literature to identify various success factors that the previous studies indicated (Chapter 2.2.4). Those success factors are the groundwork for understanding the best management approach for successful international partnerships.

Developing an international partnership offers universities new opportunities that go beyond traditional means. This thesis proposes that a university's capacity for developing international partnerships may correlate closely with its entrepreneurial status. International partnerships drive institutional change and development, and are therefore a pre-requisite of entrepreneurial success (Davies 2001, p.41). The entrepreneurial cultures of universities and international partnerships are reciprocal and have a mutual effect. Consequently, the essential elements that make universities entrepreneurial can be compatible with success factors for international partnerships. This thesis synthesises the success factors identified in the literature with regard to the internationalisation of higher education, university international partnerships, business alliances, and the development of entrepreneurial universities. The purpose is establishing a theoretical framework of a management model for successful international partnerships.

The next chapter discusses another thematic issue of internationalisation and international partnerships in Japanese higher education.

CHAPTER 3

JAPANESE UNIVERSITIES IN GLOBAL HIGHER EDUCATION AND THEIR ASPIRATIONS

3.1 Introduction

Some time has passed now since Japan lost its international standing following the burst of the 1990s economic bubble. Japan's international competitiveness in the world economy, politics, and education and research has been in question in recent decades. The domain of higher education is not an exception. Since entering the 21st century, the Japanese Ministry of Education, Culture, Sports, Science and Technology (MEXT) has initiated several national projects to revive the international competitiveness of Japanese universities including the Project for Establishing Core Universities for Internationalisation (Global 30) in 2009 and the Top Global University Project in 2014.

Japan's internationalisation has often been regarded as distinctive but inward looking; throughout its history, Japan has often maintained cultural, political, and educational barriers against the outside world. This historical segregation of Japan and other countries may impede perceptions of real multinational interaction within Japanese universities, and inert multinational interaction most likely affected for a long time the growth of international partnership development by Japanese universities. International partnership development, which is the focus of this thesis, can be an effective measure to generate real multinational interactions among Japanese universities and open them up to the rest of the world. However, such development appears to be a new, not-so-easy challenge for Japanese universities. In this regard, the present thesis makes a number of recommendations to help Japanese universities advance their international partnerships and overall internationalisation.

International partnerships in present higher education cover a wide range of types and scopes. International partnerships range from a simple bilateral student exchange agreement to a wider collaboration among more than three universities. Partnerships can also include comprehensive, broad collaborations, such as global consortia and networks. International partnerships may operate in many areas, including education, research, industry linkages, and a combination of multiple areas. Within the field of education, partnerships are developed to implement double or joint degree programmes, collaborative teaching, and joint curricula; larger-scale partnerships can involve joint international campuses.

Although there is a broad range of study areas, the target of this thesis is limited to a DDP partnership involving Japanese universities. A few Japanese universities are developing more advanced international partnerships that can deliver various research and educational activities in collaboration. However, the mainstream of educational partnerships of Japanese universities is still in the form of a DDP. Therefore, towards providing recommendations for Japanese universities to acquire the ability to facilitate more comprehensive international partnerships, it is necessary to assess the state of DDP partnerships among those institutions.

In this chapter, the literature review aims to unfold Japan's aspirations for the internationalisation of education and its distinctive features including international partnerships by looking into the major education reforms and accompanying internationalisation policy framework, which are widely discussed in the literature. Then, this chapter attempts to explore some problems, issues and opportunities in Japanese higher education.

3.2 Internationalisation of Education in Japan: Great Education Reforms

Japan has long been influenced by foreign education systems such as Chinese Confucianism and Buddhism since the 6th century and Dutch studies in the Edo period (1603–1868). In that context, it can be said that the internationalisation of Japanese education proceeded with influences from the outside world. This was especially true in the Meiji era (1868–1912), when Japan's internationalisation was identical with the modernisation of the country.

The modernisation of Japanese education started with the Meiji Restoration in the 1860s, when more than 250 years of feudal military government (the Edo period) came to an end and imperial rule was restored. Rappleye and Kariya (2011, p.53) point out that since the Meiji Restoration, Japan experienced three 'Great Education Reforms', namely the reform in the early Meiji era (1868–1890), during World War II and its aftermath (1937–1955), and the reform initiated under Prime Minister Nakasone's Ad Hoc Council for Education (1983–1987).

3.2.1 Reforms in the Meiji Era

Many scholars of Japanese education including Lincicome (1993, p.148) consider the first wave of reform to have occurred in 1872 with the promulgation of the nation's first universal, compulsory education law under the Meiji government. Reform in the Meiji era had two basic

goals, enriching the country and strengthening the army, and this demanded “a concerted programme of Westernisation, modernisation, and industrialisation to catch up with the West” (Ibid.). The Meiji reformers were deeply conscious of the importance of mass education and advanced knowledge to rapidly modernise and industrialise Japan (Okada 2005, P.32). To install a modernised higher education system in Japan, the Meiji government adopted English, French, and in particular German higher education systems to establish seven imperial universities³ between 1886 and 1939.

Rappleye and Kariya (2011) illustrate the discourse of Japan’s ‘Three Great Education Reforms’ with the keyword ‘catch-up’. For centuries, Japan played ‘catch up’ with foreign systems, particularly China, and Meiji’s embrace of Western modernity was a repeat of the earlier catch up with China (Buruma 2003, p.37, cited in Rappleye and Kariya 2011, p.51). During the Meiji era, Japan enthusiastically adopted and adapted to modern Western systems of economy, industry, politics, and education. Internationalisation for Japan in the Meiji period concentrated on the appropriation of Western ideas and practices (Whitsed and Volet 2011, P.151).

This manner of adopting and adapting to external influences helped to create Japan’s image as a ‘borrower’. However, Japanese reformers have never simply borrowed, rather “they have always ‘reworked’ imports in accordance with domestic debates and dynamics” (Rappleye and Kariya 2011, p.52). Japan digested imports from the outside world and made them Japan’s own. Referring to Japanese adaptability, some suggest that Japanese leaders very much valued their national identity and took pride in Japanese culture and history, even as they adopted and adapted to imports from advanced Western countries. Thus, the Japanese remained eager to preserve their culture and history. This inclination, which is considered characteristic of Japan, sometimes evokes Japan’s nationalistic images.

3.2.2 Reforms after World War II

Japan’s modernisation in the Meiji era reached a major milestone when Japan gained sufficient military power to proclaim war against Russia in the Russo–Japanese War (1904–1905). Its defeat of Russia, selected as one of four permanent members in the League of Nations (1920), and the further growth of its economic, political, and military might, supported the Japanese leaders’ notion that “the Meiji goal of material “catch-up’ was

³ Tokyo Imperial University (est. 1886); Kyoto Imperial University (est. 1897); Tohoku Imperial University (est. 1907); Kyushu Imperial University (est. 1911); Hokkaido Imperial University (est. 1918); Osaka Imperial University (est. 1931); and Nagoya Imperial University (est. 1939).

approaching completion” (Ibid., p.61).

However, this did not last long. Japan’s total defeat in World War II (1939–1945) brought to ruin Japan’s development achieved under the Meiji Restoration. Japan was placed under the control of the American Occupation Forces, which sought to replace wartime ideas of nationalism and feudalism with Western civilisation, particularly that from the United States. “The notion of ‘catch-up’ once again framed Japan’s relationship with the world” (Ibid., p.64). Under US occupation, Japan again embarked on educational reform with a new US model. This is regarded as the second great education reform.

In the 1960s and 1970s, Japan achieved significant economic growth. Japan’s GDP ranking rose to second behind the United States in 1968, and enjoyed stable economic growth until the early 1990s when the so-called bubble economy burst, followed by the ‘lost decades’. The third education reform began during the period of stable economic growth before the bursting of the bubble economy, immediately after Prime Minister Yasuhiro Nakasone formed his cabinet in 1982 and undertook his education reform.

3.2.3 Reforms under Prime Minister Nakasone

Nakasone established the Ad Hoc Council on Education (AHCE) in 1983, as a supracabinet advisory council under the prime minister. AHCE published four reports on education reforms before completing its mission in 1987. The primary target of those reforms was higher education, with a strong recommendation to relax government controls on higher education institutions and enhance flexibility and openness. In accordance with the AHCE’s proposal for higher education, private universities were given more freedom and flexibility, in particular to establish new programmes without the previous rigid control and oversight from the ministry (Kariya 2010, p.73, 74).

Rapplee and Kariya (2010, p.35) indicate that the third phase of education reform by Nakasone was founded on the political discourse that the period of ‘catching up with the West’ was coming to an end. During the catching-up period, a centralised controlled system was appropriate to import knowledge from abroad and to present it to Japanese youth. However, once this catch up was achieved, AHCE recognised Japan’s education system needed to be more flexible to nurture more creative and autonomous individuals (Ibid., p.74). At this point, Japanese education entered the new phase of education reform. During this phase, Japan needed to reconsider internationalisation, beyond modernisation and civilisation, and find new targets and a new national plan and strategies for internationalisation.

In the next section, Japan's policy and strategies for internationalisation will be explored through the reports of the University Council, an advisory organisation to MEXT established in 1987 to take over the discussion from AHCE, as well as major national projects for the internationalisation of higher education.

3.3 Internationalisation of Education in Japan: The Third Great Education Reform and Beyond (1970s–2000s)

With the publishing of the OECD Education Committee's "Reviews of National Policies for Education: Japan" in 1971, the internationalisation of higher education became a lively discussion topic among those interested in Japanese higher education. The OECD Reviews stressed the necessity of Japan's international participation to contribute to a world need of peace and development (OECD 1971, p.69). For Japan to meet this demand, the OECD made specific recommendations for the internationalisation of higher education in four major respects: improvement of foreign language education; improvement of the employment system for study abroad returnees; opening Japanese higher education to foreigners; and the development of globally minded human resources. As a practical plan to open up Japanese higher education to foreigners, the OECD advised Japan to improve Japanese language education for international students and researchers, introducing English as a medium of instruction as part of the university curricula, and increasing the number of international teaching staff. Since then, these issues have become major discussion points in the internationalisation of universities in Japan (Ebuchi 1997, p.8-9; Kitamura 1984, p.50).

Reflecting on the OECD's recommendations, the Central Council for Education's (an advisory organisation to the Japanese government) initial and significant response was to publish a report in 1974 on "Japan's International Relations in Education, Science, and Culture". In this report, the council proposed a series of specific actions for internationalisation, which became the political base line of the internationalisation of education in Japan thereafter. The actions for internationalisation were as follows:

- Enhancement of regional and comparative studies;
- Enhancement of international student mobility and improvement of the administrative units responsible to enhance international student mobility;
- Improvement of employment systems and working conditions for international researchers;
- Enhancement of supports to international research collaboration;

- Financial support to universities distinguished for internationalisation strategies (Kitamura 1984, p.55, 57).

Following the OECD's 1971 reviews and the council's 1974 report, Prime Minister Nakasone called on AHCE in 1983 to undertake education reform. In the same year, the Council for International Student Policy towards the 21st Century was established to discuss Japan's international student policy. This council published "Proposals Concerning Foreign Student Policy in the 21st Century" in August 1983, in which Ebuchi (1997) deems to be the only official document mentioning Japan's doctrine on international student policy. The publication contains four main ideas but attaches weight to accepting more international students to Japan:

- (1) Japan is responsible for educating and training human resources contributing to developing countries;
- (2) International collaboration through accepting more international students could enhance the standard of education and research in both Japan and foreign countries;
- (3) Japan's contributions as in (1) and (2) could enhance mutual understanding between Japan and foreign countries and develop a cooperative spirit of the people;
- (4) The international student policy is very important and is central in the national educational and foreign policy, with international students representing a bridge between Japan and foreign countries to develop and strengthen friendly relationships (Ibid., p.27).

The International Student 100,000 Plan was initiated by Nakasone in 1983 as a measure to forge ahead with Japan's international student policy. This plan is still considered to represent the most notable strategy for the internationalisation of higher education. The plan was presented in 1983 to increase the enrolment numbers of international students in Japanese higher education institutions from 10,000 (in 1983) to 100,000 by 2000 (Newby et al. 2009, p.79). In parallel to this plan, MEXT implemented other measures to improve the environment for international students, establishing international student centres at major national universities that offer Japanese language education to international students and building dormitories for international students at national universities. MEXT also expanded the budget for government-sponsored international students. After this plan was introduced, an essential aim of Japan's internationalisation strategies has been to increase the enrolment of international students to open up education to the world and contribute to the international knowledge society.

3.4 Internationalisation of Higher Education in Japan after 2000

3.4.1 The 300,000 International Student Plan (2008-)

The goal of 100,000 international students by 2000 was achieved in 2003 and Japan set itself another enrolment: the 300,000 International Students Plan, with a deadline of 2020. The practical measures for the implementation of the plan were discussed in the University Subcommittee of the Central Education Council.⁴ In July 2008, the plan was formulated by MEXT in co-operation with multiple Japanese ministries⁵. MEXT described the essence of the plan as follows:

Purposes:

Japan will strive to attract excellent students from around Asia and other regions to study and live in Japan in pursuit of ‘Japan’s globalisation strategy’ aiming to expand the flow of people, resources, and information between our country and the rest of Asia and the world.

Significance:

- (1) Enhancing the academic standards of Japanese universities to a world-class level and reinforcing its world competitiveness, herewith improving Japan’s international competitiveness in science and technology and industries;
- (2) Securing human resources for the domestic labour market to contribute to Japan’s economy;
- (3) Promoting international co-operation by educating students from developing countries;
- (4) Promoting regional development by increasing student populations to cope with Japan’s ongoing ageing and declining birth rate, herewith stabilising university business against declining domestic student enrolment;
- (5) Promoting international goodwill between Japan and other countries;
- (6) Contributing to peace and global stability by creating a human network between Japan and other countries;
- (7) Contributing to the international knowledge society by developing international academic networks;

⁴ In 2001 the University Council was reorganised and renamed as the Central Council for Education. It is an organisation that carries out research and deliberations on important matters related to the promotion of education, lifelong learning, sports and other matters in response to requests from MEXT and provides advice to the minister (MEXT 2015a).

⁵ MEXT, the Ministry of Foreign Affairs, Ministry of Justice, Ministry of Health, Labour and Welfare, Ministry of Economy, Trade and Industry, and the Ministry of Land, Infrastructure, Transport and Tourism.

- (8) Receiving world recognition for Japan and its culture through international students who will learn the Japanese language and culture; increasing pro-Japan people worldwide; and
- (9) Enhancing campus internationalisation and improving Japanese students' cross-cultural awareness and foreign language ability (MEXT 2008a, 2008b).

Observing the above, it is evident that the plan follows the 1983 Proposals Concerning Foreign Student Policy in the 21st Century, which placed considerable importance on contributions to the international community and building friendly relationships between Japan and foreign countries, as well as gaining worldwide recognition of Japan and its culture. However, it can be seen that more inward views exist relating to domestic issues. The plan expressed Japan's intentions to see international students as an alternative labour force for the shrinking Japanese population to maintain the Japanese economy. International students may also be considered as sources of tuition income for universities (especially private universities).

The international competitiveness of Japanese higher education was clearly recognised as another issue of primary importance. It appears that after the 300,000 International Students Plan, the 'international competitiveness of Japan and Japanese universities' was repeatedly mentioned by MEXT. It is easily imagined that the rhetoric concerning international competitiveness emerged in the context of Japan's weakened position in the world following the period of long economic stagnation that followed the burst of the economic bubble in the 1990s. Japanese universities are exposed to intense competition with foreign universities. Significant improvement of academic standards in South Korea and China is intensifying the competition among top Asian universities in attracting high-achieving students from abroad (Yonezawa 2007, p.489).

3.4.2 National Programmes to Enhance Japanese Universities

To enforce a national policy to enhance Japanese universities, MEXT has developed several national programmes to promote research, education, governance, and administration at universities. To improve research competitiveness, MEXT has launched programmes to financially support a limited number of research-intensive universities, namely Twenty-First Century Centers of Excellence (2002–2009); the Global Centers of Excellence programme (2007–2013); and the World Premier International Center Initiatives (WPI) in 2007. Most of the supported institutions are large, comprehensive national universities. The WPI programme is tightly focussed on supporting world-class research; it has a large national budget of more than 9 billion yen a year. That programme also supports long-term international networking,

and selected universities are asked to invite top international researchers (Yonezawa and Shimmi 2015, p.178). As of 2017, only eight national universities and one national research institute had been selected for the WPI programme.

After the WPI programme, the Program for Promoting the Enhancement of Research Universities was launched in 2013 to support 22 selected universities for 10 years (ibid., p.183). This programme aims to improve both the research and comprehensive competitiveness of research-intensive universities in such areas as education, governance, and administration. In terms of promotion of Japanese universities' comprehensive internationalisation, the Strategic Fund for Establishing International Headquarters in Universities (SIH) was launched in 2005. With the SIH, MEXT requested that 20 selected research-intensive universities promote internationalisation by means of strong leadership and concrete strategies

Other programmes to improve the comprehensive competitiveness of Japanese universities are the Project for Establishing Core Universities for Internationalisation and the Top Global University Project. Those programmes are discussed in the following sections.

3.4.2.1 The Project for Establishing Core Universities for Internationalisation (2009–2013)

Following the 300,000 International Students Plan, the Project for Establishing Core Universities for Internationalisation was launched in 2009. This project, referred to as Global 30, included specific measures to achieve the enrolment goals of the 300,000 Plan. According to MEXT, the 'core universities' for internationalisation were those that were able to offer degree courses in English and substantially increase international student enrolments in the university. A total of 15.2 billion yen was granted to the selected 13 core universities⁶ for 5 years (2009–2013). Global 30 was, without a doubt, the top priority in Japan's internationalisation strategies. MEXT described the goals of Global 30 as follows:

- (1) Strengthening Japan's international competitiveness;
- (2) Enhancing the quality of education to attract more international students by increasing the enrolment of excellent international students and developing strategic collaboration with foreign universities; and
- (3) Creating an environment where international and domestic students work together and an internationally high quality of human resources can be produced.

⁶ The 13 core universities are Tohoku University, Tsukuba University, The University of Tokyo, Nagoya University, Kyoto University, Osaka University, Kyushu University, Keio University, Sophia University, Meiji University, Waseda University, Doshisha University, and Ritsumeikan University

A key priority of Global 30 was the establishment of degree courses taught in English to achieve the above goals, especially at the bachelor level. Relating to the implementation of degree courses in English, MEXT provided directions of practical means, namely, increasing the employment of international teaching staff, developing teaching materials in English, increasing support staff for international students, setting up overseas offices to disseminate information and recruit students to Japanese universities, and expanding Japanese language and culture education to international students.

Regarding the goals of Global 30, Burgess et al. (2010, p.468) point out two reoccurring themes within the MEXT rhetoric: competitiveness and human resources. In fact, this rhetoric was manifested again in MEXT's following two projects, namely the Re-inventing Japan Programme in 2011 and the Global Human Resource Project in 2012 (MEXT, n.d.):

The 'Re-Inventing Japan Programme' aims to foster human resources capable of being globally active, and to assure the quality of mechanisms for the mutual recognition of credits and grade management through an international framework, by conducting study abroad programmes for Japanese students and undertaking the strategic acceptance of foreign students in collaboration with universities in such countries as Asia and the United States⁷.

The 'Project for Promotion of Global Human Resource Development' aims to overcome the Japanese younger generation's "inward tendency" and to foster human resources who can positively meet the challenges and succeed in the global field, as the basis for improving Japan's global competitiveness and enhancing the ties between nations. Efforts to promote the internationalisation of university education in Japan will be given strong, priority support.

3.4.2.2 The Top Global University Project (2014-)

After the completion of Global 30, the succeeding project, named the Top Global University Project, was started in 2014. Again, as with Global 30, this project aimed to enhance the international compatibility and competitiveness of Japanese universities with the stipulated objective of creating world-class universities ranked in the top 100 in the world university rankings (MEXT 2014a). The first year's budget of the Top Global University Project was 9.9 billion yen, which was more than twice of the annual budget of Global 30.

⁷ As of 2015, the countries of collaboration were expanded to include Russia, India, and Latin America, in addition to Asia and the United States.

The scope of the Top Global University Project is wide ranging to cover the internationalisation of the student body and teaching staff, foreign language education for both international and domestic students, the internationalisation of the curriculum and quality assurance system, and governance reforms (Ibid.). MEXT avows the intention to promote the comprehensive internationalisation of Japanese universities. The primary aim of the project is stipulated in the call for applications published in 2014. It states that this project supports universities that strive for the enhancement of international availability and competitiveness of Japanese higher education, specifically in two categories: world-class universities that have the potential to be ranked in the top 100 in world university rankings, and innovative universities that lead the internationalisation of Japanese society (Ibid.). 13 universities were selected for the world-class university category and 24 for the innovative university category. Of the 13 universities selected by MEXT as ‘world-class universities’, 11 are national universities.

The progress of Japan’s internationalisation policies can be reviewed through the major national projects of education reforms. For some time after the Meiji Restoration, internationalisation was synonymous with ‘catching up with the West’. When Japan achieved economic growth after World War II and the catching-up period was coming to a close, Japan faced a new demand from the international community for its greater participation and contribution to international society. Japan then devised a national policy to make an international contribution through human resource development by way of accepting more international students into Japanese higher education. Increasing international student enrolments has been a key internationalisation strategy for Japanese higher education for some time now, accompanied by the emergence of a second key strategy—the strengthening the international competitiveness of Japanese higher education. However, what is the reality of Japanese higher education in global higher education? The following section discusses the characteristics and challenges of internationalisation in a Japanese context. Furthermore, possible future directions for Japanese higher education will be reviewed.

3.5 The Internationalisation of Higher Education in a Japanese Context

Ebuchi (1997, p.40-44) points out that fundamental differences exist in the definition of internationalisation between Japanese and English contexts. In the Japanese context, Japan or the Japanese nation is an object to be internationalised, and internationalisation means that Japan becomes internationally accepted. The concept of an object requiring internationalisation, Ebuchi believes, came from the historical position of Japan’s participation

in the world as a minor country that was forced to adjust to a great power. By contrast, in an English context, the country and the nation is a subject that makes something international and therefore internationalisation is an act or the process of internationalising something, not internationalising itself. This concept came from the history of being a great power that dominated other countries.

This definition of Japanese internationalisation reminds us of how ‘westernisation’ and ‘modernisation’ in the Meiji era represented Japan’s eagerness to catch up with the West. However, internationalisation in a Japanese context is not only westernisation or modernisation, as it refers to a wider semantic domain. In his analysis on the discourse by concerned parties on the internationalisation of Japanese education, Ebuchi (Ibid., p.36-37) categorises repeated phrases used into three groups. The first is an inward process of introducing and absorbing from foreign countries, the second is an outward process of transmitting Japan and its culture to foreign countries, and the third is a balanced process to promote co-operation and solidarity with others by combining inward and outward processes. It is interesting to note that in his analysis, Ebuchi (Ibid., p.38) cautions that the second outward process carries the risk of forcing Japanese culture or values to others. He then continues that Japan needs to place more emphasis on the third balanced process leading to co-operation with foreign countries.

As if to validate Ebuchi’s caution, various scholars suggest that the Japanese way of internationalisation is inclined to be too inward looking, insular, protectionist, and in some sense nationalistic. Goodman (2007, p.72, 75) states that, “a perception of internationalisation was to reinforce the idea of Japanese being different from all other people and for that difference to be properly understood outside Japan”; that is, the inclination for ‘Japaneseness’ or ‘Japanese values’. Whitset and Volet (2011, p.147) further state that, “internationalisation in Japan has emerged in the literature as largely a pragmatic strategy aimed at promoting a positive image of Japan to the outside world.” Burgess et al. (2010, p. 463) describe the characteristics of Japan’s internationalisation, reflecting on the lack of intercultural development among students and academics as well as the prevailing mood of stressing Japanese values, where Japan’s internationalisation is less about transcending cultural barriers and more about protecting them. Lincicome (2005, p.191), referring to the reports on education reforms by then Prime Minister Nakasone’s AHCE, points out that the reports encapsulate AHCE’s view of internationalisation as a challenge to the preservation of Japanese identity, national unity, and economic power. He also analyses Japan’s protectionism as firmly rooted in the state-based ideologies of national identity and regionalisation. Lincicome (2005) based his theory on a review of Nakasone’s principle on education policy,

where:

Nakasone himself repeatedly stated that tomorrow's cosmopolitan Japanese must be socialised to 'contribute to the international community with a Japanese consciousness' by imbuing them with a thorough knowledge of, and a deep respect for, the distinctive (or superior) attributes of Japanese tradition and culture (p.191).

These criticisms are mainly towards Nakasone's internationalisation policy, which is widely credited for leading Japan's drive for internationalism (Goodman 2007; Rivers 2010; Hook and Weiner 1992). When Nakasone promulgated his internationalisation doctrine, Japan was in the midst of great economic growth, accompanied by incidents of Japan-bashing by developed countries, lashing out against Japan's huge trade surplus. In that economic and political situation, Japan took a defensive stance against foreign pressure by promoting the 'correct understanding' of Japan abroad (Burgess et al. 2010, p.463). Goodman (2007, p.72) describes the situation, stating that, "Japan's economic growth and success in the international market had coincided with a growth in nationalist sentiment." Goodman (Ibid., p.73) further explains a continuing conversation on internationalisation among Japanese political leaders and businessmen (who placed the highest priority on economic growth) where they argued nationalism as an important factor in Japan's economic growth.

As seen above, internationalisation in a Japanese context was forged by various complex factors. While this situation is not novel, it shows how internationalisation, in general, is influenced by each country's position in the international system. On this point, Hook and Weiner (1992) state:

Analytically, internationalisation can be understood to involve a multidimensional process—of one nation penetrating another; of a nation being penetrated; of policy adjustment on the national level in response to international pressures; and of subnational actors influencing the international system. The impact of these processes on a country differs depending on its position in the international system (p.1).

In Japan's case, a multidimensional process may include its historical position as one of the minor countries in the world; as the first Asian country to be economically ranked with Western countries; as a nation subject to demands to adjust to Western standards from inside and outside of the country; as a non-English-speaking country; and as a nation of distinctive culture and tradition. Considering Japan's multidimensional process, to which Japan's internationalisation attributes to, it is conceivable that MEXT is pursuing somewhat

nationalistic policies as part of its internationalisation package, as was done in the Meiji era. However, this Japanese nationalistic sentiment is not distinctive from many other nation states, which are in similar positions and hold similar historical backgrounds as Japan (Aspinall 2010, p.8).

3.6 Challenges and Future Directions

In reviewing Japan's internationalisation policy and the practical steps taken by Japan so far, Kariya and Rappleye (2010, p.45) state that, "there was no permeability but an immune response along Japan's cultural-cum-political borders in the usage of the term 'internationalisation'." These criticisms seem pertinent and remind us of Ebuchi's suggestion that Japan needs to place a greater emphasis on achieving a more balanced process leading to co-operation with foreign countries. Where then does Japan's internationalisation go from here? In this section, the literature review looks at a number of reported problems facing Japanese internationalisation, and considers which pathway to internationalisation is the most appropriate for Japan.

3.6.1 Questioning the Rationales of Japanese Universities' Internationalisation

Based on the economic and political discourse that the catch up with the West was over, Japan entered a period recognised as the third great education reform. The aim was to enhance flexibility and openness among universities. Regarding practical actions to ensure internationalisation, MEXT initiated a number of major national projects, namely the 100,000 International Student Plan, the 300,000 International Student Plan, the Global 30 Project, and the Top Global University Project. Observing the projects' guidelines, they show some commonality among their main aims, which include (1) to attract excellent students from overseas, (2) to increase the number of international teaching staff, (3) to enhance Japanese language and culture education for international students and researchers, (4) to increase the number of courses taught in English as part of the curricula, (5) to strengthen universities' international competitiveness, (6) to develop human resources, and (7) to increase the number of domestic students going abroad. These rationales are attributed not only academic importance but also economic importance.

Various scholars consider the above aims to be the dominant objectives of Japanese internationalisation. For example, Whitsed and Volet (2011, p.47) state that, "in Japan, internationalisation is expected to be achieved in part through a large intake of international

students, short-term programmes for foreign students, increasing the flow of domestic students abroad, and the teaching of English by foreign native-English-speaking teachers”. What then are the dominant rationales of internationalisation for Japan and Japanese universities? To answer this question, Rivers (2010, p.451) states that, “the main motivation for attempting to attract international students seems to be financial and to protect Japan’s own economic interests”. Burgess et al. (2010) also look to the economic rationales behind the Global 30 Project:

Here ‘internationalisation’ is mainly interpreted as the recruitment and education of international students in Japan. ... the quality of Japanese universities is of obvious interest to Japan’s business community. The Japanese Business Federation has consistently stressed the economic importance of foreign students for Japan (Burgess et al. 2010, p.467, 469).

Behind the strategy to increase international student enrolments, Goodman (2007) identified an international profile-building rationale for national universities, while a more economic rationale for private universities was influenced by the potential of falling admission applications. For most private universities, their primary service is to offer undergraduate courses.

3.6.2 Intercultural Development

Although increasing the flow of inbound international students and domestic students abroad and the use of English as a medium of instruction is a large part of Japan’s internationalisation, it is thought that within Japanese higher education there exists a considerable degree of ignorance about the real meaning of intercultural development and practical ideas on how to enhance intercultural development. Whitsed and Volet (2011, p.147) describe “the lack of emphasis on fostering intercultural development at the institutional and individual level” in Japanese higher education. Rivers (2010, p.451-452) also questions the lack of specific measures in the Global 30 to enhance the intercultural competence of Japanese students and academic staff:

... the international students will have the opportunity to learn about the Japanese language and culture but be simultaneously denied the opportunity to actively participate in it (as there will not be any Japanese students within the Global 30 Project classes) ... As such the occurrences of intercultural contact which do exist will therefore represent a kind of simulated contact rather than meaningful contact which attempts to

promote or encourage the renegotiation of beliefs, values, stereotypes, prejudices and the expansion of cultural boundaries (Rivers 2010, p.452).

The lack of intercultural development at Japanese universities may arise from its nature of internationalisation. Regarding the distinctiveness of the Japanese concept of internationalisation identified by various scholars (e.g., a closed or less stringent transcending of cultural and political borders, strong consciousness as Japanese being different from all other people, and protecting the culture and identity) (Goodman 2007; Whitset and Volet 2011; Kariya and Rappleye 2010; Burgess et al. 2010), it is imaginable that Japan, in its long history, has always maintained cultural, political and educational barriers to the outside. This clear segregation of oneself and others may impede the progress of real multinational interaction in Japanese universities.

Reflecting that the importance of intercultural development is recognised worldwide as a vital element to improve the quality of research and education of higher education (Knight 2004; 2012; de Wit & Merckx 2012), it is imperative for Japanese universities to take this criticism seriously and to rethink the importance of intercultural development education, not only for students but for academic and non-academic staff. Intercultural education is generally recognised as a pillar of human resource development, while Japanese universities are also becoming aware of the primary importance of intercultural education. Thus, it is important for Japanese universities to develop realistic strategies and to implement them to enhance intercultural development among their community including both Japanese and foreigners.

3.6.3 Illusion of International Competitiveness

As was discussed, it appears that Japanese universities are currently seeking internationalisation primarily to develop human resources and to enhance international competitiveness. These aspirations are not exclusive but rather impact upon each other against the backdrop of the national-level rationales to sustain economic stability and strengthen economic competitiveness. Along with these aspirations, Japanese universities are striving to increase international student enrolments and the employment of international teaching staff, as well as increase the number of courses taught in English and domestic students going abroad. However, questions arise here. Are Japanese universities really able to achieve those goals, namely human resource development and stronger international competitiveness? What is the significance of Japanese universities actually achieving these goals?

In answering these questions, Kariya (2014) argues that international competition, which

Japanese universities actually think they are addressing, is merely an illusion and there is no real competition. Kariya (2014) unfolds the interesting and plausible grounds of his argument:

- (1) In non-English-speaking countries, though, competition has not yet led to the formation of a “real” market in which students and faculty move across international borders; Universities (in non-English-speaking countries) are not competing with each other for the best talent.
- (2) In a context of “real” competition, Japanese universities are at a decisive disadvantage. There is simply no way that Japan, where teaching is done in a language that is among the hardest to learn from the perspective of West European languages, can compete on level terms with higher education in countries whose national language happens to be the world’s most important lingua franca.
- (3) One needs to bear in mind the reality that markets in Japan (for labour, university education, and products) are protected by the barrier of the Japanese language. It is the scale of these markets, created by a population of more than 100 million people proficient in Japanese that makes these domestic markets possible.
- (4) Unless there is a subject that for some reason needs to be studied or researched in a particular country, and unless the added value of studying there is apparent according to global standards, universities from outside the English-speaking world simply cannot win.

Although presently no ‘real’ competition exist for Japan, some may claim that Japan will be involved in the world competition in the future. However, the present approach to Japan’s internationalisation, heavily affected by an ‘illusion of international competitiveness’, looks like much ado about nothing and this will have little effect on the internationalisation that Japanese universities really need to pursue. Japanese universities and their supervisor MEXT need to consider realistic internationalisation for Japan and the real value of Japanese universities in light of social contributions. As Kariya’s fourth point above suggests, Japanese universities need to be more aware of what makes them different from universities in the English-speaking world and make more realistic strategies that focus on the added value of their education and research and improvements in quality (Kariya 2014).

3.7 International Partnerships for Japanese Universities

3.7.1 Foreign Higher Education Providers in Japan

Japan has a history of accepting foreign higher education providers, and since 1986 these have largely been US universities. It should also be noted there is a background based on economic conflict behind the expansion of foreign higher education institutions in Japan. From the 1960s until the early 1990s, Japan's economy enjoyed stable growth and the strong economy caused economic conflict with developed countries, especially the United States. To resolve this conflict, the United States and Japan agreed to work to enhance the debate within the framework of the Joint Japan-US Committee on Trade and Economic Affairs.⁸ The topics discussed by the committee covered culture, education, and research, and the 8th meeting of the committee in 1971 agreed on a joint communiqué that endorsed the promotion of cultural exchange and research collaboration, the enhancement of Japanese studies in the United States and American Studies in Japan, and interaction among artists and scholars.

Following discussions to reduce the economic conflict, the US–Japan Committee for Promoting Trade Expansion was founded in 1986 comprising Japanese diet members and US congress members to discuss possible measures to expand trade between the two nations. A leading politician in the Liberal-Democratic Party and the chairman of the committee, Susumu Nakaido, made the strategic decision to open Japanese doors including the door of higher education (Chambers and Cummings 1990, p.5). Thus, as one solution to the conflict, the committee proposed the establishment of branch campuses of US universities in Japan (Watabe 1995, p.81).

In tune with the Committee's proposal, many US universities started to work to open branch campuses in Japan, while Japanese educational groups, especially in local governments, showed strong interest. Behind the interest of local governments lay the depopulation of Japan's rural areas—they were concerned about the flow of young people from many of the rural prefectures to larger metropolitan areas in search of jobs. The leaders of the rural prefectures decided to establish new universities in their prefectures. However, the reality was that many of them were unable to attract local institutions. Hence, they became interested in foreign institutions (Chambers and Cummings 1990, p.3). In accordance with the definition of foreign universities set by the National Land Agency in 1991, 33 foreign universities (26 universities offered English-bridging courses to Japanese students to enter the home university

⁸ A minister-level committee established in 1961 for the purpose of discussing economic issues between the United States and Japan, especially issues relating to trading and economic collaboration.

in the United States and 7 offered specific programmes from the home university's curricula to Japanese students) were established in Japan (Torii 2003, p.199). Although more than a few local governments showed interest in inviting US universities to establish branch campuses in their area, very few branch campuses set up in collaboration with local governments materialised, and most of that were by invitation from private companies. Chambers and Cummings (1990) attribute the local governments' unsuccessful attempts to their lack of ability to explore the full implications of establishing cooperative ventures with US universities and also a failure to obtain the support of their communities (p.23).

However, those foreign branch campuses that were established did not last long, and many of them were closed by 2003 (Torii 2003, p.201). Possible factors for these closures were a drop in student enrolments, expensive tuition fees, low reputation of foreign branch campuses for Japanese stakeholders, insufficient English ability of Japanese students, increase in current account deficits or budget cutbacks, and the disadvantage of being unqualified to confer Japanese higher education degrees. The difference between the education systems of Japan and the United States was also part of the failure factors. For example, there is a tacit understanding that Japanese universities will take care of their students until they graduate, while in the United States, it is principally each student's responsibility as to whether or not they graduate (Ibid., p.201-203).

As of 2015, four foreign higher education institutions are authorised by MEXT, namely Temple University, Russian Far Eastern University, Tianjin University of Traditional Chinese Medicine, and Beijing Language and Culture University. These foreign institutions are not allowed to confer Japanese university degrees but their graduates are eligible to enter a Japanese graduate school, transfer to a Japanese university, and the credits gained from those institutions can be converted to a Japanese university (MEXT 2015b).

3.7.2 Overseas Bases of Japanese Universities

With the current movement of foreign providers entering the Japanese student market, Japanese higher education institutions have begun to seek to expand their business overseas. Chambers and Cummings (1990, p.3) highlight the economic background that motivated Japanese universities to develop their branch campuses in foreign countries: a strong Japanese yen since the mid-1970s enhanced the overseas purchasing power of Japan, and also a capital surplus produced by economic growth in Japan led Japanese entrepreneurs to search for new investment opportunities. Moreover, investment in education and research is very attractive and many consider that the establishment of colleges will yield strong short-term returns

(Ibid.). By contrast, in the United States in the 1980s and 1990s, growth shifted away from established urban areas to new regions and rural areas. The resulting effect was major demographic changes, making some regions younger or more culturally homogeneous. Such states suggested reinvestment in universities as an engine for state economic development but the problem was finding funds. Japan's sources of capital looked promising to them (Ibid., p.3-4).

According to Sukigara (1991, p.75-76), by 1990 26 overseas higher education campuses were established by the Japanese education sector (including universities, high schools, vocational schools, language schools, and private companies) in the United States, the United Kingdom, Canada, Australia, France Denmark, Nederland, and New Zealand. A notable fact is that their main mission was to provide education to Japanese students, not to local students. For Japanese universities, overseas bases were facilities to accommodate and provide training and education to their Japanese students, and some other institutions also aimed to attract students from Japan. International branch campuses by Japanese education institutions were not really the export of Japanese education but their aim was to recruit Japanese students desiring to study abroad (Ibid., p.77).

Another type of overseas expansion by Japanese universities involved setting up an office or a base for collecting information on the country's higher education, the promotion of their university, the recruitment of local students, alumni networking activities, offering support to students and researchers for studying abroad, and conducting research activities. The purpose of these activities was not to develop joint activities in partnership with a higher education institution in the host country, but simply to set up overseas agencies. MEXT has been engaging in this type of overseas expansion since the 2000s, and the first national project that placed overseas expansion as a major aim was launched in 2005. The project is the Strategic Fund for Establishing International Headquarters in Universities (SIH). In line with the SIH's main objective of empowering the governance and administration of Japanese universities to promote internationalisation by means of strong leadership and concrete strategies, MEXT requested that the 20 selected universities establish overseas bases.

After SIH, other national projects, such as the Global 30 Project (2009–2013) and the Top Global University Project (2014–2023), continued to emphasise the establishment of overseas bases. Consequently, the number of overseas bases set up by Japanese universities continues to increase. MEXT (2017) reported 546 overseas bases set up by 134 universities in survey results published in 2014.

The latest transnational educational programme, named EDU-Port Japan, was launched in 2016 by multiple ministries and agencies⁹ in collaboration with NGOs and private businesses. EDU-Port Japan is a public-private initiative aiming to export Japanese-style education overseas, especially in those areas they consider Japanese education to be strong (e.g., including primary and secondary education system, math and science education, ICT in education, and industry human resource development). Target destinations are developing countries mainly in Asia, including India. The programme scope covers primary, secondary, and higher education, and its fiscal budget for 2016 was 63 million yen. This is a small-scale budget compared with the 1,657 million yen allocated for another strategic international partnership programme, the Re-Inventing Japan Programme (p.37, 49). EDU-Port Japan aims not to simply develop transnational educational programmes but also to encourage peripheral knowledge sharing and networking activities such as seminars to disseminate business good practices, working group project to generate business plans in overseas, and provides an international forum to collaborate with foreign businesses and government members. (EDU-Port Japan 2016)

In 2016, EDU-Port Japan called for bids for pilot projects. Twenty-six organisations, including universities, made applications. Five projects in Thailand, Nepal, India, and Vietnam were selected as funded projects (two projects from Vietnam), and nine projects were selected as supported but unfunded projects. The five beneficiaries include two national universities and three companies in the education industry. Each funded project is allocated a maximum of 8 million yen per year for two years (EDU-Port Japan 2016).

3.7.3 International Education Partnerships with Japanese Universities

As the previous section describes, the majority of overseas expansion conducted by Japanese universities has simply entailed establishing overseas agencies. Thus, developing international educational partnerships is relatively new for Japanese universities, although Japan's international research collaboration has a longer history. In international research collaboration, MEXT has funded several large international joint research projects with tightly selected research-intensive universities; most of them are highly ranked national and private universities. The selected research-intensive universities develop international joint research partnerships with research units or faculties.

⁹ MEXT, the Ministry of Economy, Trade and Industry (METI), the Ministry of Foreign Affairs (MOFA), the Japan International Cooperation Agency (JICA), and the Japan External Trade Organisation (JETRO).

However, such international research partnerships are very rare. More than 77% of Japanese universities are in the private sector; the vast majority of private universities are involved in educational activities in the humanities and social sciences at undergraduate level (Huang 2017, p.7). This means that in general, international education partnerships have popular potential and are feasible for Japanese universities. This subsection looks at the current state of international education partnerships with Japanese universities, which require wider stakeholder involvement and more complicated management than research collaboration.

According to MEXT (2014b), Japan's first international research collaboration was initiated in 1963 within the framework of a bilateral country-to-country partnership. In research collaboration, MEXT has been funding several large international joint research funds to tightly selected comprehensive universities, most of which are highly ranked national universities and private universities. By contrast, reviewing Japan's policy regarding international partnerships in education, the first major national programme that articulated the goal of international education partnership development was the Support for Promoting the Internationalisation of University Education¹⁰ initiated by MEXT in 2006. This programme financially supported selected Japanese universities to develop a collaborative programme with multiple foreign universities. Originally, the programme encouraged a broad scope of education collaboration and did not specifically emphasise the development of collaborative degree programmes. However, in 2007, the new category was set up within the programme, explicitly mentioning the support of universities striving to develop a double degree programme. This programme ended in 2008.

The next international education partnership programme, the Re-Inventing Japan Programme, was launched in 2011, and aimed to support universities to develop joint and double degree programmes in an international framework. This project also embraced Japan's regional strategies for international partnerships. The project's 2011 bids targeted partnerships with East Asian countries and the United States, and 2012 bids were for ASEAN countries. The project expanded the target region to the European Union in 2013, Russia and India in 2014, and Latin America in 2016.

These two projects have had a certain effect in enhancing the development of international collaborative degree programmes in Japanese universities. According to a report of the National Institution for Academic Degrees and University Evaluation, about ten double degree programmes were launched each year between 2006 and 2011 (Hayashi et al. 2012, p.11).

¹⁰ This English title is a translation by the author. The Japanese title published by MEXT is *Daigaku Kyoiku no Kokuzaika Kasoku Puroguramu*.

This number has increased annually, and as of 2014, 151 Japanese universities are implementing double degree programmes (MEXT 2016a, p.58). This number is approximately 19.3% of all Japanese universities¹¹. Participating universities have stated the following features as the most significant objectives of developing double degree programmes: (1) developing highly professional human resources, (2) developing the intercultural understanding of students, (3) increasing enrolment numbers of excellent international students, and (4) improving the university's international competitiveness and attractiveness (Hayashi et al. 2012). It is interesting (or a matter of course) that those objectives overlap with those repetitively advocated by MEXT in its national internationalisation projects.

There are currently just a few joint degree programmes implemented by Japanese universities. As of 2016, just three postgraduate joint programmes in medicine and dentistry were reported (MEXT 2016b). MEXT currently regards joint degree programmes as advanced collaborative programmes that can boost the internationalisation of Japanese higher education, following the world trend. In the latest internationalisation project, the Top Global University Project, one of the main aims is the development of joint degree programmes. In line with promoting joint degree programmes, MEXT published a guideline in 2014 for developing a joint degree programme between Japanese and foreign universities.

3.7.4 Japanese Higher Education: Problems, Issues, and Opportunity

Looking at internationalisation and partnership development in Japanese universities, this chapter reviewed the history of Japanese higher education since the Meiji Restoration in the 1860s (heralding of the modernisation of Japanese education) when Japan joined the world as a minor country. The purpose of internationalisation for Japanese education was to catch up to Western countries, as was its economic purpose. When Japan drew even to Western countries, Japanese higher education entered a new phase of reconsidering internationalisation and creating a new national plan and strategies for internationalisation.

In terms of overall Japan's internationalisation, it has often been evaluated as distinctive but inward looking, or even nationalistic in previous studies. This is because Japan's internationalisation has entailed a multidimensional historical, political, and economical process as follows: its historical position as one of the minor countries in the world; as the first Asian country that ranked economically with Western countries; as a nation demanded to adjust to Western standards from inside and outside of the country; as a non-English-speaking

¹¹ As of 1 May 2014, the total number of universities authorised by MEXT is 781 including 86 national universities, 92 prefectural/municipal universities, and 603 private universities. (MEXT)

country; and as a nation of distinctive culture and tradition. One critique explains that Japan's internationalisation is less about transcending cultural barriers and more about protecting them (Burgess et al. 2010, p.463). It is a fact that Japan has maintained cultural, political, and educational barriers against the outside throughout its long history. In one sense, this clear segregation of Japan and other countries may impede perceptions of real multinational interaction within Japanese universities. Japanese universities in the present world need to make realistic strategies for internationalisation, purely focusing on the added value of their education and research and improvements in quality, with the awareness of what makes them different from universities in the English-speaking world (Kariya 2014).

International partnership development is a new opportunity for Japanese higher education, which can be an effective measure to generate real multinational interactions in Japanese universities and to open up them to the rest of the world. In this way, the quality of their education and research can be enhanced. Although its primary purpose might be to increase the global competitiveness of Japanese universities, and not primarily improve multinational interactions, MEXT continues to strive to boost international partnerships with Japanese universities in research and education.

At present, the main type of educational partnership in Japan is collaboration in the form of DDPs. This is still a basic type of partnership involving partial and specific task of implementing DDP, and there is considerable room for developing to more comprehensive partnerships. By contrast, few Japanese universities engage in more advanced, comprehensive international partnerships with a wide range of scope and involving a wide range of stakeholders and multiple universities from different institutional cultures and different countries. Considering the complexity of these advanced, comprehensive international partnerships, the process of developing and managing such partnerships, which can confront and solve problems, can lead to an increase in both individual and institutional learning at Japanese universities. A favourable outcome of developing international partnerships—especially more advanced and comprehensive partnerships—is to enhance international competence at the individual and institutional level at Japanese universities.

Thus, how to develop and manage more advanced and comprehensive international partnerships is of great importance to Japanese universities. Therefore, it is meaningful that they understand what management model is most likely to improve their management of partnerships and facilitate more advanced and comprehensive partnerships.

CHAPTER 4

TOWARDS A PHASE- AND PRINCIPLE-BASED MANAGEMENT APPROACH TO INTERNATIONAL PARTNERSHIPS

4.1 Introduction: A New Approach to International Partnerships

What is a ‘successful’ international partnership? One way to answer this question is through an approach that focuses on performance results. Such an approach requires specific criteria or indicators to assess the results produced by partnership performance to determine whether or not the partnership is successful. However, it appears that such assessment indicators vary depending on the scope and goals of each partnership. For some partnerships, the focus of the goals is on commercial competition (Knight 2012, p.27). For such a commercially oriented partnership, a performance indicator may be the revenue from tuition or external funds derived from industrial activities. For other partnerships, the goals can be linked to better institutional reputations, research advancement, public engagement, and curricular offerings (Koehn and Obamba 2012, p.361). Goals can also be a higher performance in terms of students learning outcomes, the number of degrees or diplomas conferred within a joint programme, and the number of joint research publications. Because indicators differ, the definition of successful partnerships is complex and there may be some disagreement and controversy regarding what is success. Consequently, it seems difficult to find consensus towards a single definition of a successful international partnership.

Rather than exploring performance results, this study focuses on management processes that enable an international partnership to function smoothly and effectively. Such processes concern the structural issues of managing and coordinating a partnership and procedures for developing, implementing, and sustaining a partnership organisation and its activities. Therefore, this study aims to take a process-oriented approach, rather than a result-oriented approach, to understand and identify successful international partnerships.

Strong governance and management are both important for the success of international partnerships. This thesis defines such governance as one that provides strategic direction setting and assumes accountability of management for good performance and institutional sustainability. Management consists of leadership and driving functions to achieve aims through all institutional domains and processes. Based on the understanding that the quality of both governance and management affects the success or failure of international partnerships, this study principally focuses on management issues that practically control, coordinate, and

operate a partnership. This thesis recognises that the lack of discussion about governance is one of the limitations of the present study. Towards a more holistic approach to assessing the success of international partnerships, future investigations should focus on the associated governance issues.

Chapter 2 contained a review of higher education literature, revealing that crucial elements affect management structures and processes. It is these elements that universities striving for partnership development need to integrate into their strategies for partnership management, and they are the causal factors behind successful international partnerships. Therefore, one of the purposes of this study is to identify the most crucial elements for successful international partnerships through a process-based approach, and then identify a management approach model that contributes to the success of international partnerships between universities. Such a management approach would be appropriate for many universities worldwide in the advancement of their international partnership projects and overall internationalisation. It is also suitable for Japanese universities, most of which are still in the early phase of developing international partnerships. Thus, this study will contribute to the further advancement of the internationalisation of universities in Japan.

This chapter aims to determine the key elements to develop successful international partnerships by means of a process-based management approach. To that end, this study examined the literature to find the success factors identified there for both higher education partnerships and business partnerships. The identified success factors are filtered in the light of the author's own experience and learning as a practitioner engaged in university international relations. They are then integrated into a theoretical framework of a phase- and principle-based management model for successful international partnerships. It is proposed that this model facilitates the essential 'phases' of development and sustainable growth of such partnerships; it does so by embedding critical principles into management practices. Chapter 4.5 elaborates this theoretical framework of a phase- and principle-based management model.

This theoretical framework integrated two ideas: three essential phases and three critical principles of successful partnership management. Figure 2 illustrates the theoretical structure of the framework. The three essential phases are as follows: (1) building a partnership; (2) consolidation and catalysing maturity; and (3) maintaining a positive cycle between growth and consolidation. This idea of three essential phases synthesises three source concepts: the life cycle of a higher education institution; stages in the evolution of maturity of the university-stakeholder cluster; and inter-institutional cooperation at a regional level (Davies 1998). The three essential phases are interactive and work together synergistically to activate

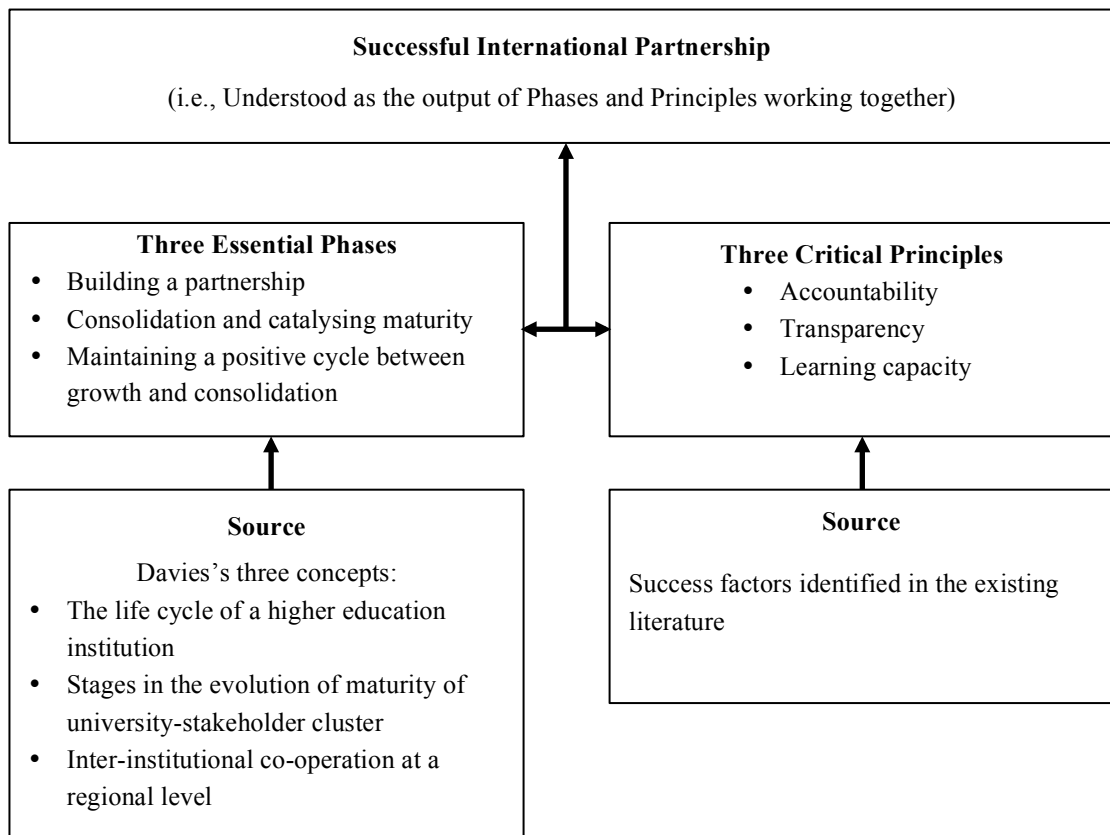
an international partnership. This study hypothesises that if a partnership can manage to facilitate all three phases, then the partnership is likely to be successfully managed. It is also noted that for each of the three phases, there is a competing risk. That is, declining levels of maturity and the growth of unmanageable complexity that results in instability to cause a descent into the stagnation, decay, and termination of the partnership. These three essential phases will provide the normative criteria against which particular management structures and processes will be measured. These are elaborated in the following Chapter 4.2.

The idea of three critical principles is adapted from success factors identified in the existing literature. However, identified success are filtered in the light of the author's own experience and learning as a practitioner and integrated into the three critical principles. The three critical principles are (1) accountability, (2) transparency, and (3) learning capacity, and are elaborated in Chapter 4.3. These three principles are vital to produce the practices of the management structures and processes necessary to facilitate the three essential phases and produce a successful partnership. This study hypothesises that if any of the three critical principles are lacking, then a partnership may not be able to exercise such practices to facilitate the three essential phases. Therefore, it is helpful to identify how those three critical principles work in the three essential phases to determine the best management approach for a successful international partnership.

Employing the theoretical framework mentioned above, this study tries to answer the following question: what management machinery facilitates the proposed three essential phases and enables those phases to work integrally and synergistically? This thesis supposes that the machinery that can facilitate the three essential phases is able to create management structures and processes that support a robust and proactive international partnership. The international partnership is then able to ensure dynamic adaptation to complex and changing realities. Such machinery is driven by the collection of practices, which constitutes the activities implemented by an international partnership. In this context, it is meaningful to identify which practices within management structures and processes (as demonstrated in existing partnerships) are able to facilitate the three essential phases working together.

At this point, it may be necessary to refer to the relationship between principles and attendant practices. This study understands that practices—what people do in the real life—reflect a certain principle of what people value, and supposes that certain principles are embedded in practices to manage a successful international partnership. (The relationship between principles and attendant practices is discussed in Chapter 4.3.).

Figure 2. A phase- and Principle-Based Management Model for Successful International Partnerships (Theoretical Structure)



4.2 Three Essential ‘Phases’ of International Partnerships

4.2.1 The Idea of the Three Essential ‘Phases’

Understanding that a partnership is an organic and dynamic phenomenon moving through various stages of evolution (Davies 1991, p.207) and involves various stakeholders engaged in collaboration, this study takes a multifarious approach to achieve the primary aim of identifying a model of management structures and processes that can contribute to the success of international partnerships between universities. In this context, this study will approach the management of international partnerships through the idea of essential phases derived from Davies’s work (1991, 1995, 1998, 2001), namely the ‘life cycle of a partnership’, the ‘relationship between the maturity of a partnership and its operational effectiveness’, and the ‘capacity to control possible instability caused by the complexity of the organisation’.

These concepts are also supported by other scholars. Van de Water et al. (2008, p.27-41) provides two major phases of a partnership life cycle: a developing phase and an

implementing and sustaining phase, while Kale and Singh (2009, p.47-51) identify three phases in a life cycle of business alliances: an alliance formation and partner selection phase, an alliance governance and design phase, and a post-formation alliance management phase. These life cycles of Van de Water et al. and Kale and Singh are elaborated in Chapter 2.2.4.

Understanding the relationship between the maturity and operational effectiveness, as well as the capacity to control possible instability caused by the complexity of the organisation, is crucial to design effective management structures and processes of partnerships. In relation to these two concepts, Babiak and Thibault (2009, p.137) argue through their study on cross-sector partnerships that “the multitude of organisational partners creates a complex competitive environment” and under such complex environment “formation of effective management of multiple cross-sector partnerships” is required.

(1) Life cycle of a partnership

This idea is derived from Davies’s theory of ‘life cycle of a higher education institution (1991)’ (Figure 3). All institutions move through various stages of evolution in their lifetime, and Davies divides the lifetime into six stages: development, initiation, growth, consolidation, stagnation, and decay and termination. This study applies Davies’s life cycle concept to an international partnership, and aims to identify what significance each stage has for the success of the partnership.

At the development stage, all future plans such as the size of the partnership and core activities are established. During the initiation stage, all the necessary infrastructures (including finance and facilities) for a partnership are prepared and management structures are created. Furthermore, in the growth and consolidation stages, progress is made regarding partnership activities and the institutionalisation of the partnership. Progressive inertia may arise for various reasons including the inability to respond to challenges and criticism and financial reduction at the stagnation stage. Finally, at the decay and termination stage, the inertia deteriorates to an unrecoverable crisis and the decision to wind up the operation may be made.

The growth and consolidation stages are characterised as periods of change. Davies (1991) comments on expansion in the growth stage, and therefore expansion is an element of change. He illustrates the point that some universities achieve considerable expansion in terms of the proliferation of subjects and departments in the growth stage. As such, as an institution is adapting to change, a certain institutional culture is developed. “The institutional culture that developed during the growth stage has had a very important bearing on the capacities of institutions to withstand some of the later buffeting” (Ibid., p.208). Figure 3 also shows input

and output curves from the development to the decay–termination stage. In starting up new activities (e.g., courses, projects, departments, or international partnerships), institutions invest resources before any outputs are reaped. Outputs here are general outputs benefitting educational institutions including student output, income, and prestige (Davies 1985, p.49).

(2) Relationship between the maturity of a partnership and its operational effectiveness

This idea is derived from Davies’s theory of ‘stages in the evolution of the maturity of university stakeholder clusters (2001)’ (Figure 4). Davies applies this theory to analyse the development of relationships between entrepreneurial universities and external agencies from a behavioural point of view. Davies (Ibid.) provides a cluster maturity spectrum with five stages of maturity towards systematisation and sophistication as illustrated in Figure 4. Most clusters of university stakeholder partners need to proceed through the spectrum to reach full maturity and operational effectiveness. With this spectrum, Davies stresses the significance of a maturity evolutionary process for a partnership and states:

Universities and other stakeholders have rather different organisational cultures and basic beliefs and agendas which condition behaviour. ... It is prudent to conceive of the development of common culture of understanding between universities and their stakeholders as an evolutionary process (Ibid., p.39-40).

(3) Capacity to control possible instability caused by the complexity of the organisation

This idea is derived from Davies’s theory of ‘inter-institutional co-operation at a regional level (1998)’. Figure 5 indicates a collaboration integration model, which may manifest itself along two dimensions: the number of partners and the range of co-operative activities (Davies 1998, p.86). If a partnership is bilateral and involves simple co-operative activities, its state of co-operation is easier (Quadrant A). As a partnership becomes more complex, its potential instability increases. Applying Davies’s collaboration integration model to partnership development, this study seeks to explore how universities engaged in a partnership involving various stakeholders are able to control the possible instability caused by complexity.

Based on Davies’s theories, this study introduces an assumption that there are three phases that may affect the management of international partnerships; these three phases are considered essential determinants of success or failure. The three essential phases derived from Davies’s three concepts are as follows: building a partnership, consolidation and catalysing maturity, and maintaining a positive cycle between growth and consolidation. These phases are further described in the next section.

Figure 3. The Life Cycle of a Higher Education Institution (Source: Davies 1998)

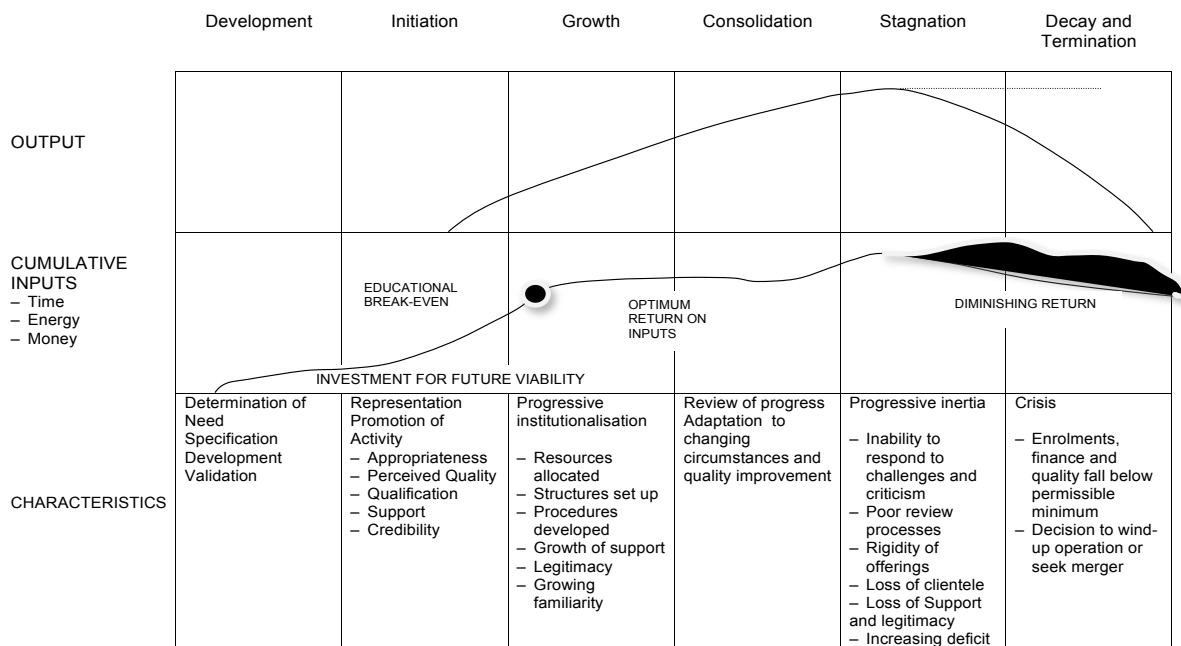


Figure 4. Stages in the Evolution of Maturity of University-Stakeholder Clusters (Source: Davies 1998, p.84)

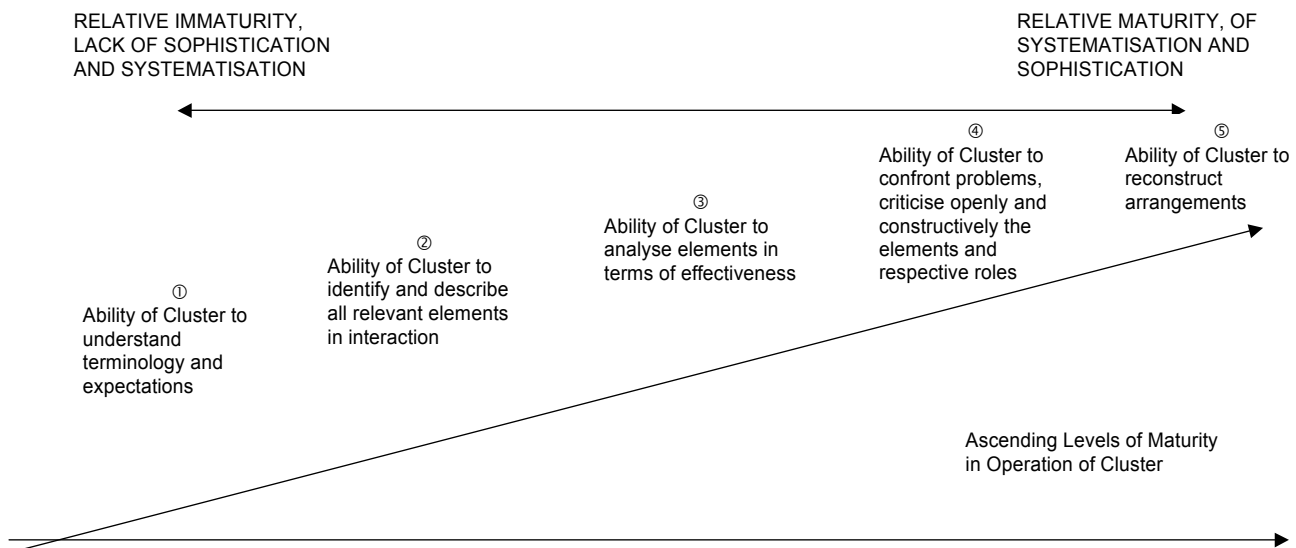
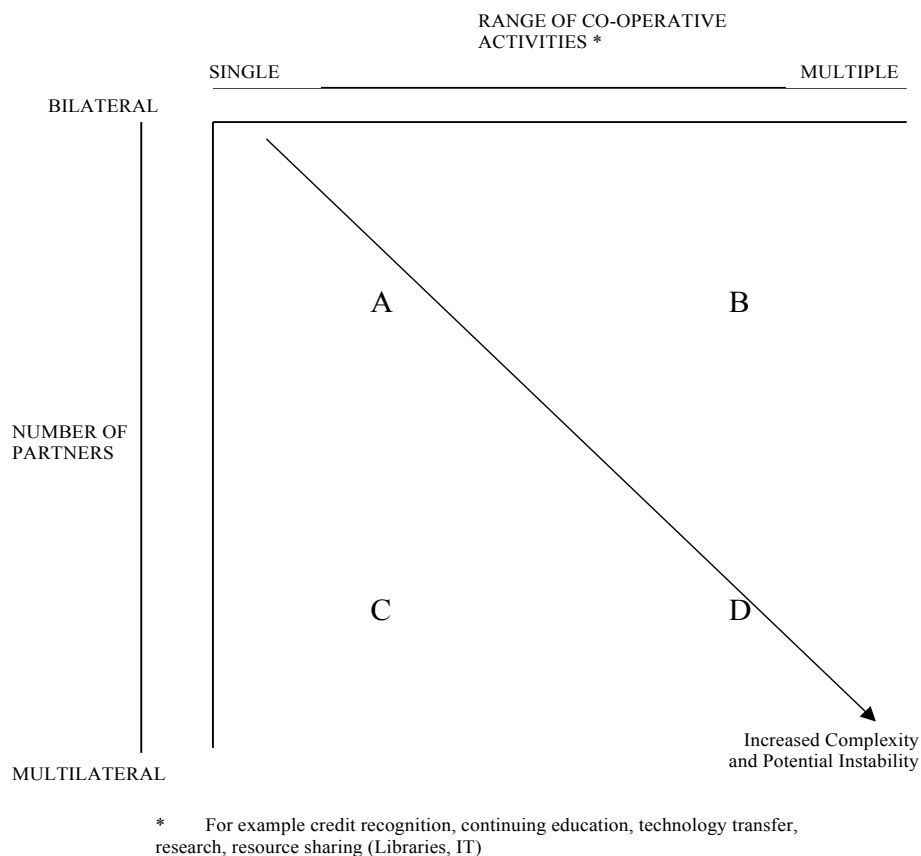


Figure 5. Inter-Institutional Co-operation at a Regional Level (Source: Davies 1998, p.88)



4.2.2 Phase 1: Building a Partnership

All strategic partnerships go through various stages of development and those stages can be defined as comprising a life cycle of development, initiation, growth, consolidation, stagnation, and the decay and termination in its life cycle (Figure 3). In the development and initiation stages, some important decisions regarding the building of a partnership are made. The potential partners will discuss, for example, why they need to develop a partnership, what they want to do or need to do in the partnership, what is the validity of the partnership, how they will finance the partnership, and what organisation they wish to build to manage the partnership. As a result of thoughtful discussion, they can specify the shape of the partnership, and the shape of the partnership may justify its legitimacy.

In the growth stage, the decisions made in the development and initiation stages are put into practice. It can be said that the growth stage is a completion stage for building a partnership with the progression of the institutionalisation of the partnership and its activities, based on the foundation of development and initiation. From the development stage through to the growth stage, necessary resources are allocated, structures and procedures for managing the

partnership and implementing collaborative activities are developed, as is support from academics and administration. Furthermore, stakeholder support grows and the legitimacy of the partnership is boosted (Davies 1991).

Consequently, a partnership is built up in the development, initiation, and growth stages and the shape of the partnership may affect its future. Therefore, the phase of building a partnership is defined as one of the essential phases for the success of a partnership.

4.2.3 Phase 2: Consolidation and Catalysing Maturity

The consolidation stage is for solidifying a firm foundation for a partnership to break through future challenges. In the consolidation stage, progress is systematically reviewed for further improvement and adaptability to changing circumstances is enhanced (Davies 1991). Therefore, consolidation is crucial to prevent possible stagnation and the decay and termination of a partnership.

The most essential element for consolidation is the maturity of the partnership, which can evolve as a partnership grows. Referring to Davies's cluster maturity evolution stages (Figure 4), as the cluster's level of maturity ascends, the cluster gains ③ the ability to analyse elements in terms of effectiveness, ④ the ability to confront problems, and then ⑤ the ability to reconstruct arrangements. These abilities are attuned to the characteristics of the growth in the consolidation stage in the life cycle of a partnership (Figure 3). This indicates that a partnership that demonstrates a high degree of maturity of systematisation and sophistication in its operations is likely to possess an effective management capability. Furthermore, management capability is obtained through the evolutionary degree of maturity possessed by an organisation and the relevant people. This study calls the process of obtaining management capability as 'catalysing maturity'. With the ability to catalyse maturity, a partnership is able to grow, be sustained, and further expand.

Maturity in operation needs to include various abilities. For partnership management, the following abilities are required: articulate objectives and expectations, enhance effective communication between stakeholders, analyse elements in terms of effectiveness, identify problems and work towards resolution, and improve management processes. Davies (1998) describes the process of ascending maturity levels illustrated in Figure 4:

It is clear from the evidence that some clusters are very much in the early stages of acquaintance, ① and that the project itself may well have assisted in catalysing the

relationship in a more systematic manner. Some clusters ② describe fully the current situation, but do not display any marked analysis as yet ③. Some indicate a marked willingness to confront identified problems head-on at least, in certain domains, and to criticise partner efforts in a creative, helpful and constructive manner ④. Others show a developed tendency to be able to reconstruct arrangements together and to go well beyond the planning stage to systematic implementation of improvements ⑤ (1998, p.82).

Given the above, a cluster's maturity evolves through enhancing collaborative relationships in a systematic manner. Such collaborative relationships can be developed in circumstances that enable stakeholders to work together, good communication, and thereby building mutual trust. It is also essential to acquire the abilities to properly analyse the current situation and reconstruct arrangements. This means that maturity could be catalysed as a consequence of relationship development and learning from an accumulated experience. Such maturity cannot be acquired in a short space of time. A partnership has to go through a long process of learning about relationships, agendas, issues, problems and likely solutions, with a spirit of realism, patience and tolerance (Davies 1998, p.83).

Another critical capability of a partnership to maintain a course of growth to consolidation is controlling the complexity of an organisation and minimising potential sources of instability. Referring to Davies's concept again, Figure 5 illustrates the patterns of correlation between the complexity and instability of inter-institutional co-operation. As the number of partners increases and the scope of activities expands, the status of co-operation becomes more complex. The increasing complexity amplifies potential sources of instability and it is liable to make a partnership stagnate. Moreover, sustainability is jeopardised and in the worst case scenarios, a partnership is terminated. Quadrant D in Figure 5 represents a very complex network. Co-operation in Quadrant D is difficult to sustain, if entered into too precipitately, without the institutionalisation of the factors governing sustainability (Davies 1998, p.87). The process of the institutionalisation of the factors governing sustainability is the crucial control function of management, and an important capability that can be obtained through catalysing maturity.

This context suggests that one of the crucial issues for the success of a partnership is the increase in the level of operational maturity, which is catalysed by communication, trust, and learning from the experience of working together. Thus, this study defines the phase of consolidation and catalysing maturity as one of the essential phases.

4.2.4 Phase 3: Maintaining a Positive Cycle between Growth and Consolidation

This thesis assumes that most partnerships go through the stages of development, initiation, growth, consolidation, stagnation, and decay and termination in its life cycle, following the Davies's concept. The course from development to consolidation is regarded as an evolving process for a partnership. However, contrary to positive progress, not a seed of a crisis but a real crisis (e.g., the failure of the partnership to grasp a business opportunity) may arise during the growth and consolidation stages from negligent business practices. If the crisis is not managed swiftly and appropriately, a partnership is likely to enter stagnation. The critical risks for a partnership are most likely to become tangible in the stagnation stage and this situation can lead to the decay and termination of the partnership. At the same time, if a partnership can confront the crisis and successfully overcome it, the partnership is able to gain significant learning from successfully managing a crisis.

Therefore, maintaining the growth and consolidation stages is highly important in preventing stagnation, decay, and termination. If a partnership successfully maintains growth to then consolidate and avoids stagnation, the partnership will be more likely to maximise opportunities for success. There is a range of countermeasures to be taken by a partnership to avoid stagnation including expansion and the revision of activities. Averting or deferring is other possible measures in the event of confronting difficulties. This condition is defined as an essential phase to maintain a positive cycle between growth and consolidation.

4.2.5 Three Essential Phases Reviewed

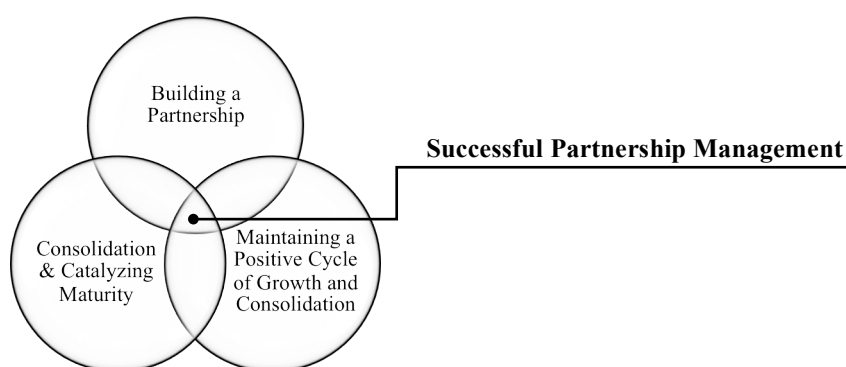
Davies's three concepts can be understood in a broader sense and applied to activities of higher education institutions in general. However, this study focuses on the relationship between the three phases derived from the Davies's three concepts and a successful international partnership to understand how these phases particularly connect to the management of an international partnership. These phases are all interactive and need to work synergistically to activate an international partnership. For example, a partnership cannot stay in positive cycle between growth and consolidation without building a solid foundation for growth and controlling complexity of an organisation to curtail potential instability. The ability to control complexity will increase as the managerial maturity level rises. Maturity level of a partnership can evolve since the development stage and through to the growth and consolidation stages. These three essential phases will provide the normative criteria against which particular management structures and processes can be measured.

The phases have a significant influence on the success of international partnerships, and therefore it is important to understand how to actualise the three phases and manage competing risks in the actual management practices of international partnerships. An appropriate management approach, which this study is attempting to understand, needs to be endowed with machinery that enables the three essential phases to work integrally and synergistically. Figure 6 illustrates the correlation of the three essential phases.

Providing that the machinery that enables all three essential phases to work integrally and synergistically is an assembly of management practices that constitute management structures and processes of a robust and proactive organisation, it is meaningful to identify those management practices in existing examples of partnerships. To discuss management practices, this study starts by attaching high importance to the concept of ‘principle and practice’. The supposition here is that practices—what people do in the real life—reflect certain principles of values. That is, in the context of an international partnership, certain principles are embedded or manifested in the practices that are implemented to manage a successful international partnership.

Chapter 4.3 elucidates the concept of principle and practice by reviewing the relevant literature. Then Chapter 4.4 explores the critical principles that may be embedded in those management practices that can facilitate the three essential phases.

Figure 6. Three Essential Phases of an International Partnership



4.3 A Phase- and Principle-Based Approach to Partnership Management

This section aims to introduce the idea of a management approach based on the concepts of principle and practice. First, the relevant literature in social theory will be reviewed to understand the concepts of principle and practice and the correlation between them (Chapter

4.3.1). Second, this concept will be applied to machinery for managing a successful international partnership. Here a supposition will be derived, that there are critical principles and their attendant practices in a management approach that function as key enablers to facilitate the three essential phases in operating effectively. The three essential phases are elaborated in Chapter 4.2. Finally, integrating the ideas of the critical principles, their attendant practices, and the three essential phases, the theoretical framework of a phase- and principle-based management model will be explained (Chapter 4.3.2).

4.3.1 Principle and Practice in Social Theory: A Literature Review

One important precedent study is that by Coleman (2001) on ‘corrective justice’¹², and tort law. Coleman (2001, p.10) identifies the principles embodied in existing legal practices and develops his theory on the relativity of corrective justice and tort law stating, “the central concepts of tort law—harm, cause, repair, fault, and the like—hang together in a set of inferential relations that reflects a principle of corrective justice.” According to Coleman, significant elements of practice are embodiments of principle. Our concepts regarding things or matters, which are embedded or manifested in practice, reflect principle. Furthermore, practices act together to articulate, realise, or make explicit the content of the concepts and principles they embody (Ibid., p.6, 8, 10). Thus, his account on corrective justice as a principle and tort law as a practice is highly relevant to this study.

Geertz¹³ (2005) approaches practice and principle in a more complex context. He studied Balinese cockfighting in the 1950s, when cockfights were illegal but were a major form of ritualistic entertainment for Balinese men. He conducted fieldwork through interviews and observations, and interpreted what cockfights mean to the Balinese people. Balinese men bet money on cockfight games by choice. He called the larger-bet fights ‘deep fights’. Deep fights involve better cocks and “tremendous care is taken to see that the cocks are about as evenly matched as to size, general conditions, pugnacity, and so on as is humanly possible” (2005, p.69). Through this fieldwork, Geertz revealed there were many tacit rules in cockfighting that would not be understood outside the Balinese community. For example, a man never bets against a cock owned by a member of his own kin group; he feels obliged to bet for it, and the more so the closer the kin tie and the deeper the fight. If his kin group is not involved, he will

¹² The principle of corrective justice expresses a particular conception of fairness, responsibility for the outcomes of one’s choice, and the importance of certain interests to human welfare or wellbeing (Coleman 2001, p.5).

¹³ Geertz advocates a semantic approach to religion and culture and deeply influenced the practice of symbolic and interpretive anthropology. This study draws methodological inspiration from his study rather than explicit finding of culture.

support an allied kin group against an unallied one (Ibid., p.74-75). Thus, people calling for higher bets are expressing their allegiance to their kinsman. Their evaluation of the birds, any theory of probability, or even their hopes of financial gain do not matter to them (Ibid., p.69).

From Geertz's analysis, it can be understood that those tacit rules demonstrated in cockfighting are rooted in the Balinese social setting—their affiliations to social relationships in kin and villages and their way of living—and their historical culture in a broader sense. The tacit rules—principles or what they value—are inherent in the Balinese way of life, with little consciousness, and are embedded in all their practices demonstrated at the cockfights.

Bourdieu (1990) also developed his theory in association with social settings. He provides various implications regarding the concept of practice and principle in his theory of habitus. Habitus is produced in the conditionings associated with a particular class of conditions and in accordance with the schemes generated by the history (experiences) of where and how one has lived (Ibid., p.278, 279). Habitus constitutes the space of lifestyle by producing classifiable practices and works, and at the same time, by differentiating and appreciating these practices and products with taste (Ibid., p.166). Habitus is internalised as being of a second nature and converted into a disposition that generates meaningful practices and meaning-giving perceptions in both individuals and collectives (Ibid. p.279, 281; Bourdieu 1979, p.166).

Bourdieu's concept of habitus and lifestyle—likewise Geertz's concept of Balinese historical culture and cockfighting—can be understood in a broader sense than the concept of principle and practice discussed in this study. However, there is surely a degree of synonymy between the relativity of habitus and lifestyle—as well as Balinese culture and cockfighting—and that of principle and practice in this study. Bourdieu states that habitus are generative principles that translate the intrinsic and relational characteristics of a position into a unitary set of persons, goods, and practices. It is the classification of principles, principles of vision and division, and different tastes, which distinguish what is good and what is bad, what is right and what is wrong, what is distinguished and what is vulgar, and so forth (Bourdieu et al. 1991, p.634).

4.3.2 The Idea of a Phase- and Principle-Based Management Approach

An international partnership does not become successful automatically. Appropriate management practices are necessary to facilitate the three essential phases that lead to success, or at the very least, make success more likely to occur. What then are the management practices (structures and processes) that can facilitate the three essential phases? To start the

discussion on this issue, this study consults the social theory of principle and practice and conceptualises the correlation of principle and practice in the previous section. The concept of principle and practice derived from a literature review can be epitomised as follows:

- Practices are what people do in real life for a certain purpose;
- Principles are what people value and classify as what is good and what is bad, what is right and what is wrong, what is distinguished and what is vulgar, and so forth;
- Practices—what people do in real life—are the realisation of the concepts of things or matters that reflect principle;
- Practices—what people do in real life—are induced by principles—what they value; and
- People are unaware of the principles embedded in their practices because principles are usually implicitly hidden behind practices.

Based on this concept, this study introduces the supposition that there are critical principles and attendant practices in a management approach that function as key enablers to facilitate the three essential phases to operate effectively. Moreover, combining this supposition with the concept of the three essential phases, another supposition is developed that a management approach for a successful partnership is based on three critical modes. The three modes are distinguished as follows: the mode of embedded critical principles, the mode of practices reflecting critical principles, and the mode of the three essential phases activated by the exercise of practices that reflect the critical principles.

From this perspective, this study proposes that the best way to understand and identify which management approach can contribute to success of international partnerships is to conduct an empirical study and reveal which practices by the key actors of a partnership facilitate the three essential phases and which principles are embedded in the practices. This outline describes a phase- and principle-based management approach.

4.4 The Three Critical Principles of International Partnerships

To explore the critical elements for partnerships, this study reviewed the literature on higher education partnerships to find out them from a management point of view (Chapter 2.2). In addition to the higher education, this section refers to the business alliance literature to identify success factors for partnerships argued in the relevant literature. This study assumes that those success factors are most important elements to manage a successful partnership, and that there are three most critical principles, among the important elements, that facilitate the

three essential phases to ensure success. The following sections will propose three critical principles as the benchmark of the key principles, further develop this idea, and finally propose an overall theoretical framework of a phase- and principle-based management model for a successful international university partnership (Chapter 4.5).

4.4.1 The Idea of the Three Critical Principles

The success factors presented in the higher education literature (e.g., senior management commitment, leadership, coordination, institutionalisation, human resource management, learning capacity, values and compatibility, communication, trust and commitment) (Chapter 2.2) are closely related to the critical principles. The literature on business partnerships also implies similar factors, though some are unique. It seems possible to broadly categorise the success factors derived from business partnership literature as leadership and coordination factors, relationship-related factors, interpersonal- and integration-related factors, and institutional learning capacity factors. Leadership and coordination factors include task-oriented management, interaction-oriented management, and other coordination functions; relationship-related factors include partner compatibility, commitment, complimentary contribution, interdependence, and mutual trust; interpersonal- and integration-related factors comprise broad connections between stakeholders, communication, and bonding; and institutional learning capacity factors include the ongoing evaluation of partnership performance, adapting to changing conditions, crisis management, and continuous improvement (Bronder and Pritzl 1992; Hoffmann and Schlosser 2001; Iyer 2003; Jiang et al. 2008; Kale and Singh 2009; Kanter 1994; Schreiner et al. 2009).

Integrating the various factors identified in different research articles, this study aims to identify the three most prominent principles and then propose these as three critical principles that are most commonly indicated in the literature to be factors for success. To identify the three most prominent principles, the present study first examined the existing literature on both higher education partnerships and business partnerships to determine previously identified success factors. Then the identified success factors are filtered in the light of the author's own experience and learning as a practitioner engaged in university international relations. The three critical principles are accountability, transparency, and learning capacity. A detailed discussion of each critical principle can be found in the following sections. Although each principle is described individually along with their attendant practices, these three principles and their attendant practices are not mutually exclusive. Thus, some practices may embody more than one principle.

4.4.2 Accountability

Consulting the Oxford Advanced Learner's Dictionary for a definition, accountability is "the fact of being responsible for your decisions or actions and expected to explain them when you are asked." BusinessDictionary.com defines accountability as "the obligation of an individual or organisation to account for its activities, accept responsibility for them, and to disclose the results in a transparent manner." Applying these definitions to partnership development, it is possible to say that the principle of accountability is closely related to management capability, particularly to leader's or leading authority's governing behaviour regarding responsibility and answerability to stakeholders. Accountability needs to exist in the relationship with partner organisations and also between individuals to create compatibility, commitment, mutual contribution and trust, all of which are necessary to manage a partnership.

As such, accountability in partnership development is a clear demarcation of the responsibility in the policy setting process, the decision-making process, line management and staff structures, resource allocation and formalisation, and in the scope of the authority of leadership roles. Because accountability needs to exist in all processes of control and coordination, leaders' roles become central in exercising accountability. Davlin and Bleackley (1988) explain the role of 'accountability and responsibility' in alliances:

The major barriers to effective decision making within many organisations, and alliances are no exception, arise from problems associated with accountability and responsibility. It is essential that senior management establish an organisational structure that has clear lines of accountability and responsibility. The role of the individual within the alliance must be defined and linked to a realistic set of objectives (p.21-22).

In practice, what do leaders have to do? Referring to the relevant literature, it is important that senior management maintain contact to discuss broad goals or changes within a party; if required, a communication facilitator (e.g., an alliance operating committee) for top-level leaders can be established (Kanter 1994, p.105-106). The management team is also responsible for monitoring performance progress and recognising the limits of the alliance. Furthermore, for senior management, managers, and other involved parties within the partnership, goals and well-defined procedures must be clearly communicated (Whipple 2000, p.26). Moreover, all important management practices should be in place, including the allocation of responsibility, tasks with clearly defined objectives, open communication systems (Iyer 2008, p.49), the transfer of key people to the partnership, and the creation of a

system to accomplish their tasks (Kanter 1994, p.106).

Accountability must also be embedded in practices concerning relationship building. The compatibility of partners—working together with mutual understanding and trust in a productive and solution-oriented manner (Whipple 2000, p.27)—is unlikely to be ensured without the existence of the accountability of those people involved in the partnership. The partners accountable for the relationship show tangible signs of long-term commitment by the investment of financial and other resources into the relationship, and integrity by behaving honourably to each other to justify and enhance mutual trust (Kanter 1994, p.100). Building trust by unilateral commitments and avoiding opportunistic behaviour are also important (Hoffmann and Schlosser 2001, p.362).

Considering the above, accountability is a fundamental principle with which leaders can persuasively facilitate the management of a partnership (both between participating organisations and within each organisation, and also between individuals). Without the intrinsic value of accountability among the parties involved, those practices are unlikely to go well. At the same time, by performing such practices, accountability in the partnership is enhanced. The critical principle of accountability and its attendant practices derived from the relevant literature are shown in Table 3.

4.4.3 Transparency

Schnackenberg and Tomlinson (2016) studied organisational transparency to define transparency as a function of three relevant factors, namely disclosure, clarity, and accuracy. They describe each factor in the following way:

Disclosure is increased as stakeholders perceive information as more relevant and timely; clarity is increased as stakeholders perceive information as more understandable; and accuracy is increased as stakeholders perceive information as more reliable. Each of these dimensions contributes uniquely to overall levels of transparency by increasing stakeholder confidence in the quality of information received from the organisation (Schnackenberg and Tomlinson 2016, p.1794).

Following this definition, it can be said that the principle of transparency relates to issues such as information and communication integrity and the ability to possess integrity. Partners share information required to make the relationship work, including their objectives and goals, trouble spots, or the need for change; therefore, openness and the sharing of information that

enhances information symmetry needs to be ensured by bringing together people from all partners to share information. In addition, the partners behave towards each other in an honourable manner, thereby justifying and enhancing mutual trust. That is, that they do not abuse the information they gain, nor do they undermine each other (Kanter 1994, p.100, 106). Regarding this issue in business alliances, Schreiner et al. (2009, p.1401) state that, “alliance management capability entails a firm having the necessary know-how and skills to credibly convey relevant knowledge and information about itself to the partner in a timely, accurate, and complete manner.” The act of conveying knowledge and information creates trust between partners, and the creation of trust ultimately enhances accountability. In addition, interpersonal integration is able to build the necessary foundation for creating future value (Kanter 1994, p.106).

In international partnerships, it is natural that multiple organisations with different national and institutional cultures work together. In such circumstances, cultural integration needs to be enhanced, otherwise many unresolved conflicts may well arise straining relationships and trust (Gill and Butler 2003, p.546). Cultural integration requires parties to have the necessary communication skills and cultural awareness to bridge their differences (Kanter 1994, p.106).

According to Schreiner et al. (2009, p.1401), “communication ability also includes deploying a variety of communication modes in the alliance rather than relying on a single conduit.” Iyer (2008, p.49) advocates the benefits of communication systems that pertain to the formality, frequency, and level at which the information exchange occurs. Such diversified communication systems are likely to produce multiple ties at multiple levels, which can ensure further communication and enhance coordination ability (Kanter 1994, p.105).

In this way, transparency, which constitutes information integrity and communication ability, is able to create broad connections and trust between many people at an organisation level to enhance the collaborative behaviour of all stakeholders involved. Transparency is crucial, not only between partner organisations but also between people within each organisation, especially in the process of institutionalising collaborative activities and practice in the organisation’s culture. The relevant literature on higher education also emphasises the importance of communication and trust to create co-operative relationships and enhance the level of the commitment of the actors involved (see Chapter 2.2). On this account, transparency can be assumed as one of the critical principles of international partnerships. Table 3 indicates a correlation of the critical principle of transparency and its attendant practices derived from the relevant literature.

4.4.4 Learning Capacity

Learning capacity within partnership development is the ability to internalise experiences and the know-how to improve future performance and reduce future instability in a partnership. Organisations equipped with learning capacity are able to identify the reasons and causes of problems and possible instability, and work to find a resolution. Learning organisations are able to learn from one another and accumulate knowledge and know-how, and utilise them for continuous improvement, adaptation to changing conditions, and crisis management (Bronder and Pritzl 1992, p.418, 420). Hoffmann and Schlosser (2001, p.364) state that, “the intent to learn plus current learning capability (absorptive capacity) together can be called learning capacity”. Learning capacity also includes creating and using knowledge objects and resources such as guidelines, checklists, reports, or manuals (Kale and Singh 2007, p.985).

Kale and Singh (2007, p.994, 996) researched the relationship between alliance function and a firm’s alliance success to conclude that a strong alliance learning process is one of the main mechanisms for greater alliance success. This implies that firms with a desire to have alliance capabilities need to have a strong alliance learning process, and firms with a strong alliance learning process, enabling them to learn and accumulate alliance management know-how and practices, have greater alliance success. The exchange of information between partners is also necessary for the sake of unlimited possibilities for inter-organisational learning (Hoffmann and Schlosser 2001 p.362).

The alliance learning process involves deliberate efforts of articulation, codification, sharing effort, and the internalisation of alliance management know-how in firms: articulation is for externalizing and explaining individually held management knowledge; codification is creating and using knowledge objects or resource to assist actions or decision making in future alliance situations; sharing effort involves exchanging and disseminating individually and organisationally held alliance management knowledge through interpersonal interaction through both formal and informal mechanisms (e.g., casual conversations and discussions between managers, committees and taskforces that meet periodically to review and exchange alliance management experiences and best practices); and internalisation efforts emphasise the absorption of relevant knowledge by individual receivers (e.g., training programmes to help individuals to learn and absorb relevant know-how) (Kale and Singh 2007, p.984-986).

Turning to the relevant higher education literature, learning capacity is widely considered essential for sustaining a partnership (see Chapter 2.2.3). In addition, learning is perceived as a crucial ability for universities to develop future wisdom and maintain cycles of

self-enhancement, leading to the creation of entrepreneurial universities (see Chapter 2.3). Based on the above, learning capacity is therefore included as one of the three critical principles of international partnerships. The principle of learning capacity and its attendant practices derived from relevant literature are shown in Table 3.

Table 3. Three Critical Principles and Attendant Practices (derived from the literature)

Principle	Attendant Practices
Accountability	<ul style="list-style-type: none"> - Setting up an alliance operating organisation to maintain contact among senior management to discuss broad goals or changes in each party. - Forming inter-institutional coordination not only between partners but also within each organisation. - Commitment and support of senior management. - A clear demarcation of responsibility in the decision-making process, line management and staff structures, resource allocation, and formalisation. - Allocation of responsibility and tasks with the conveyance of clearly defined objectives. - Transfer of key people to the partnership, and the creation of a system to accomplish their tasks. - Building trust by unilateral commitments and avoiding opportunistic behaviour. - Working together with mutual understanding and trust in a productive and solution-oriented manner. - Integrity by behaving towards each other in honourable ways that justify and enhance mutual trust. - Long-term commitment by investment of devoting financial and other resources to the relationship.
Transparency	<ul style="list-style-type: none"> - Clear communication about goals and well-defined procedures from senior management to managers and other people involved within the partnership. - Ensuring openness and the sharing of information within an institution and between partners. - Enhance information symmetry between partners. - Bringing people from all partners together to share information. - Having the necessary know-how and skills to credibly convey relevant knowledge and information about one's self to the partner in a timely, accurate, and complete manner. - Deploying a variety of communication modes in the alliance rather than relying on a single conduit. - Building communication systems that pertain to the formality, frequency, and level at which the information exchange occurs. - Not abusing the information gained, nor undermining each other.

Learning Capacity	<ul style="list-style-type: none"> - Being capable of accumulating alliance management practices, knowledge and know-how, and utilising them for continuous improvement, adaptation to change, and crisis management. - Externalizing and explaining individually held management knowledge. - Creating and using knowledge objects and resources such as guidelines, checklists, reports, or manuals to assist actions or decision making in future alliance situations. - Exchanging and disseminating individually and organisationally held alliance management knowledge through interpersonal interaction. - Absorbing relevant knowledge by individual receivers (e.g., through training programmes to help individuals learn and absorb relevant know-how). - Enhancing the capacity of people involved in the relationship to have the communication skills and cultural awareness to create cultural integration. - Exchange of information between partners for inter-organisational learning.
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(These three principles and their attendant practices are not mutually exclusive. Some practices may embody more than one principle.)

4.4.5 Three Critical Principles Reviewed

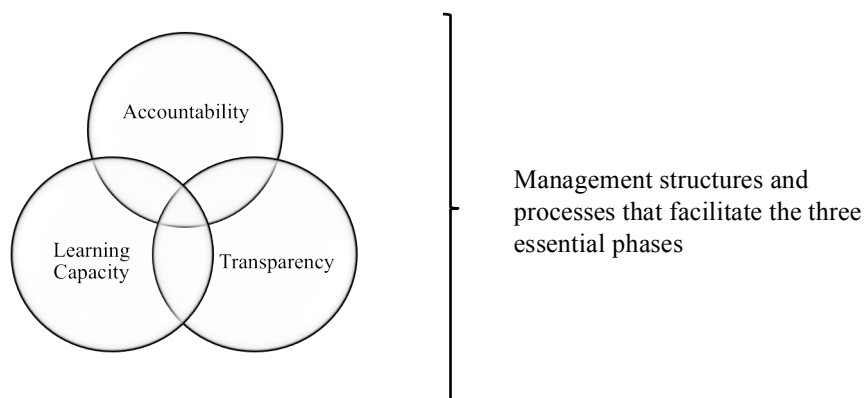
This section conceptualises the three critical principles of international partnerships, which comprise the most commonly defined success factors delivered in the literature, namely accountability, transparency, and learning capacity. Accountability is particularly essential to the processes undertaken by a governance body that drives and controls the configuration and operation of all aspects of a partnership; the body does so by providing appropriate direction and leadership. Transparency is essential largely in processes to enhance effective information flow through communication and sharing of knowledge and information to create cohesion among stakeholders through trust. Learning capacity prompts the improvement of overall management practices and processes such as problem-solving and performance control of the partnership, thereby enhancing the ability to adapt to changes and ensure that innovation occurs.

Metaphorically considering the characteristics of the three principles, accountability is the human heart that pumps the blood through the circulatory system, manipulating blood circulation by rhythmic movement; transparency is the circulatory system that circulates blood and lymph through the body to maintain and activate life activity; and learning capacity is the brain that functions as a coordinating centre of intellectual activity by accumulating knowledge and utilising knowledge gained to aid improvement. The heart, the circulatory system, and the brain, all are vital to sustain life.

In the same way, the three principles are vital for the success of an international partnership. They profoundly affect real management practices, therefore the omission of one of the three critical principles prevents a partnership from exercising practices to facilitate the three essential phases, and may hinder any positive outcomes from efforts in partnership development. Identifying how those three critical principles work in the three essential phases is helpful to understand the most appropriate management approach to ensure a successful international partnership.

For example, maintaining contact and explicit communication to convey objectives, responsibility, task allocation, and other significant information contribute to building trust among stakeholders, and thereby the partnership is accountable to stakeholders. A management team needs to be capable of monitoring performance progress and recognise the limits of an alliance to be accountable to stakeholders. Inter-organisational learning between partners is deeply affected by the degree of transparency because a restrictive exchange of information between partners limits the possibilities for inter-organisational learning (Hoffmann and Schlosser 2001, p.362). The three principles are embodied within these practices. Some practices embody all three principles and others only one or two. However, the three principles, working together or independently, are indispensable in the implementation of the practices that facilitate the three essential phases. Figure 7 illustrates the correlation of the three principles and a partnership.

Figure 7. Three Critical Principles of an International Partnership



4.5 A Phase- and Principle-Based Management Approach for Successful International Partnerships: an Overview of a Phase- and Principle-Based Model

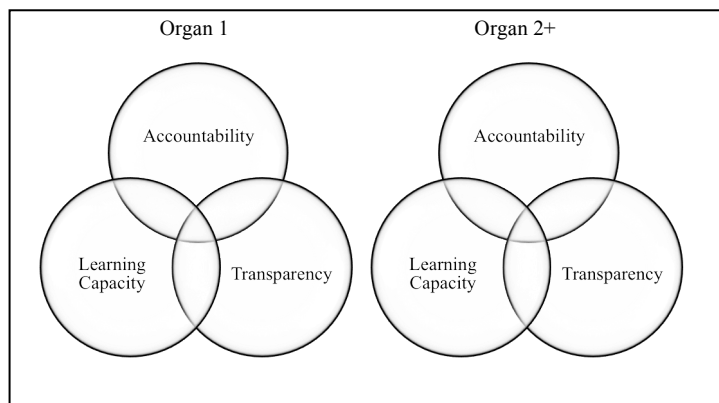
4.5.1 Multiple Organs of a University

A university is not an entity representing a single institution but rather a compound entity formed by multiple institutions (e.g., schools, faculties, departments, research centres, and administrative offices) that perform specific functions. It is common for the multiple institutions within a university to work together in many activities within the university, each with a respective role and responsibility. Each institution is an internal organ of the university. Regarding the internationalisation of a university, which is likely to accompany comprehensive changes, important internal organs (e.g., senior management group, international board, international office, and other relevant offices) help to drive this process. If any of the organs engaged with a common activity does not have the capability to achieve its role and responsibility, it is unlikely to achieve success. It is essential that each relevant internal organ has the ability to contribute to putting their university's plan into effect. The integration of strong internal organs is particularly vital for universities to manage new wider worlds such as alliances and partnerships. "An institution incapable of internal networking will not excel externally" (Duke 2002, p.84).

Every internal organ within the larger university organisation is self-contained and has its own vital function in attaining the goals set by the university in collaboration with other internal organs. If each organ is able to exercise a management approach that embodies the three critical principles into their practices, and such competent organs come together to carry out an activity, that activity will most likely succeed. The individual capability of internal organs and their organic unity towards a university's goals create a distinguished organisational culture. This idea is illustrated in Figure 8.

The same effect is expected in an international partnership, but on a larger and more complex level, because in a partnership, two or more distinct universities meet and work together towards common goals. When universities that contain multiple competent organs supported by a distinguished institutional culture enter a partnership, the opportunities for the success of the partnership can be maximised. By contrast, if there is no match between the organisational cultures of the two universities, it is possible that one side will become frustrated by, for example, the bureaucracy or slow speed of the decision making by the other partner, and both parties will be reluctant to proceed (Fielden 2011, p.50).

Figure 8. Multiple Organs of a University



4.5.2 A Phase- and Principle-Based Management Model for Successful International Partnerships and Research Questions

As mentioned earlier, this study employs a process-based approach to identify the crucial factors behind successful partnership development, and then to suggest a management approach that will contribute to the success of international partnerships between universities. Based on the idea on the three essential phases and three critical principles, this study aims to identify a phase- and principle-based management approach that can contribute to the success of an international partnership. The proposed management approach identified in this study has possible implications for universities in developing their international partnerships. Furthermore, by focusing on the three essential phases and the three critical principles as well as the actual practices embodying the critical principles, the following question can be answered: what is the best management approach for a successful international partnership?

To derive a phase- and principle-based management model, the present study first examined the literature on both higher education partnerships and business partnerships to determine previously identified success factors. The identified success factors were then filtered in light of the author's own experience and learning as a practitioner engaged in university international relations. The aim was to construct an interpretative framework of the best management model for successful international partnerships, i.e., a phase- and principle-based management model. This model consists of the three essential 'phases' and three critical 'principles'. The three essential phases – building a partnership; consolidation and catalysing maturity; and maintaining a positive cycle between growth and consolidation – are based on the literature review, specifically the concepts of Davies. The present author synthesised Davies's concepts with management processes for a successful international partnership.

The three critical principles, namely accountability, transparency, and learning capacity, are also based on the success factors identified in the relevant literature. Those identified success factors were assessed in the light of the author's own experience and learning to construct the framework of three critical principles. Metaphorically, it can be said that accountability is the human heart that pumps the blood through the circulatory system, manipulating blood circulation by rhythmic movement; transparency is the circulatory system that circulates blood and lymph through the body to maintain and activate life activity; and learning capacity is the brain that functions as a coordinating centre of intellectual activity by accumulating knowledge and utilising knowledge gained to aid improvement. The heart, the circulatory system, and the brain, all are vital to sustain life. In the same way, the author understands those three principles are particularly vital for the success of an international partnership, and the omission of one of the three critical principles prevents a partnership from exercising practices to facilitate the three essential phases, and may hinder any positive outcomes from efforts in partnership development.

Consequently, the phase- and principle-based management model for the success of an international university partnership is illustrated in Figure 9 and expounded as follows. A university is a single cluster comprising multiple organs that each performs specified functions and work together to achieve goals set by the university. This was discussed in the previous section. Considering that a university contains multiple organs and a partnership is created and jointly managed by multiple universities, it can be said that unless all the organs of the partnering universities are able to produce best management practices, the chance of success of the partnership will be reduced. Therefore, all relevant internal organs of a university need to have the capacity to take a management approach that embeds the three critical principles into the university's practices, enabling a university to participate in an international partnership ①; as a result of the partnering of universities of ①, the partnership is able to implement the best management structures and processes that embed the three critical principles into its management practices ②; and the output is that the partnership is able to facilitate the three essential phases to work integrally and synergistically in its management structures and processes, thereby the partnership is successful ③. Taking the concept of this management model with the concept of Davies's matrix for the characteristics of universities internationalisation approach (Chapter 2.3.3), it can be said that organisations facilitating a phase- and principle-based management model in their international work is most likely to manifest the characteristics of organisations categorised in Quadrant D, which shows systematic procedures and structures in policy formation and high centrality in institutionalisation of the policies.

Using the phase- and principle-based model as comparator criteria, two types of international university partnership are examined. The first type is a partial and task-specific partnership between a Japanese university and its partners. Two bilateral double degree programme (DDP) partnerships are selected; one is a partnership between the Faculty of Law of Kyushu University in Japan and the Centre for European Studies of the University of Leuven in Belgium, and the other is between the Faculty of Engineering of Kyushu University and the Faculty of Engineering of Lund University in Sweden. The second type is a comprehensive, organised strategic alliance among multiple universities from different countries. With this type, partnering universities collaborate in a broader range of activities, and there is a wider range of such factors as people, departments, and offices among all the partners. For the second type, a comprehensive and organised strategic alliance between the University of Warwick in the United Kingdom and Monash University in Australia is studied.

Bilateral DDPs are a basic type of partnership and currently the most popular form among Japanese universities. As well as Japanese universities, many universities worldwide develop DDP partnerships. Therefore, a DDP partnership is appropriate for a case study of a standard management approach to international partnerships. To examine DDP partnerships, the present study looks at the case of Kyushu University and its partners to identify strengths and weaknesses in current and future circumstances. Because this is a basic type of partnership, it could be argued that its management does not involve dealing with significant challenges and difficulties caused by the complexity. Accordingly, a phase- and principle-based management approach to a partial, task-specific partnership can derive only a simple initial-stage model; such a model leaves considerable room for improvement.

By contrast, the second type of a comprehensive, organised strategic alliance could embrace greater complexity: in such partnerships, multiple universities from different countries collaborate in a broader range of activities. Thus, more matured and sophisticated management structures and processes would be required to run a comprehensive partnership. Understanding the management model of a comprehensive, organised strategic alliance would be beneficial in determining whether and how the weaknesses of a partial and task-specific DDP partnership, could be improved.

This thesis selects the Monash Warwick Alliance as a case of a comprehensive and organised strategic alliance. The Monash Warwick Alliance is an advanced comprehensive partnership with diverse projects; it involves a wide range of stakeholders, including researchers, educators, students, administrators, and outside stakeholders. Over 1,000 students have engaged in alliance activities: over 100 participated in student exchange in 2016; over 600

academics had been involved in 64 alliance-supported projects by 2016 (Warwick 2016). The alliance is operated using shared resources and governance, and it is similar to a joint venture in the corporate sector. It may be said that the Monash Warwick Alliance is one of the most advanced global models of its kind, and much can be learned from it.

Overall, this study will be guided by the following research questions.

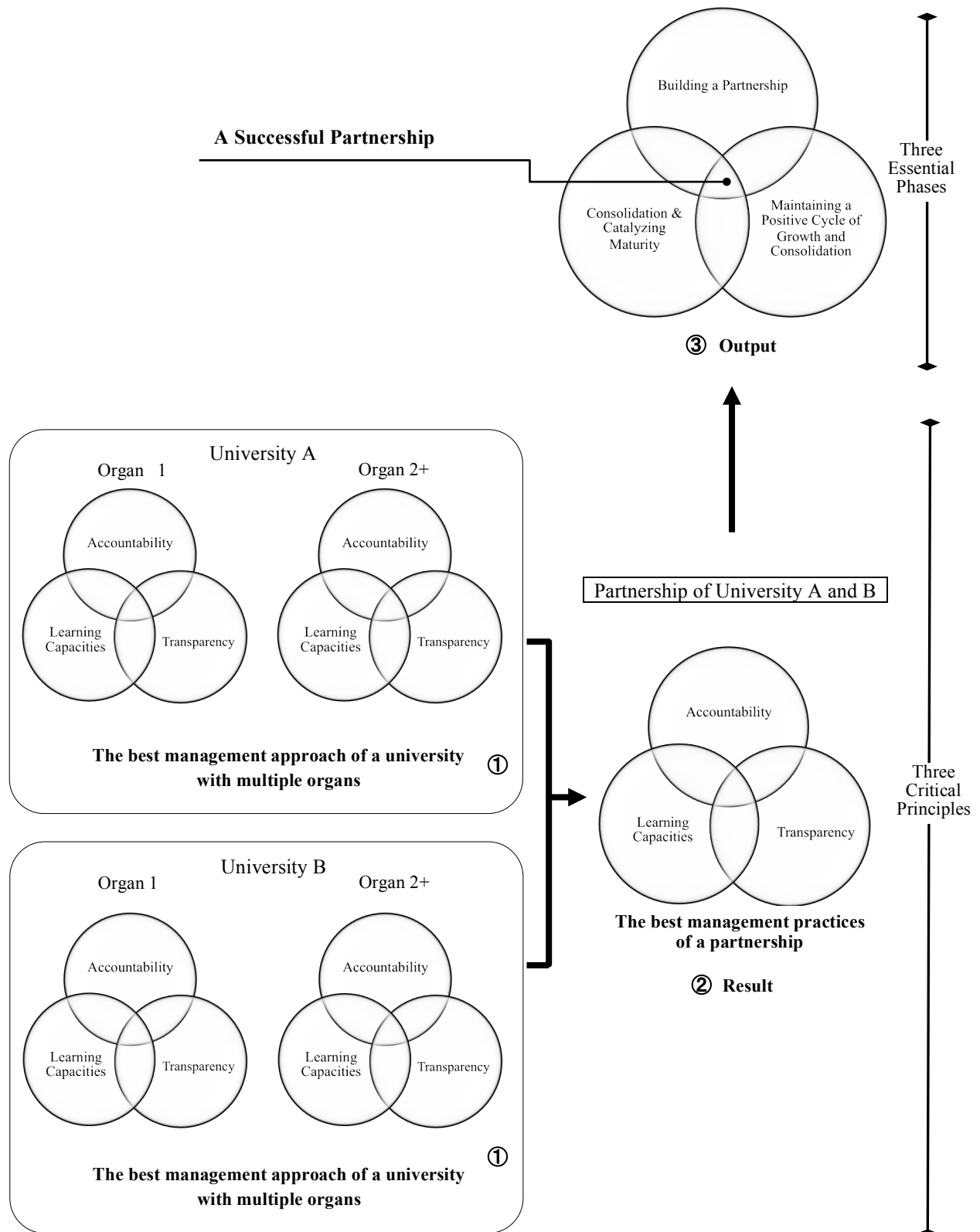
Main research question:

What might a phase- and principle-based management approach contribute to the understanding and success of international partnerships between universities, specifically in a Japanese context?

Sub questions:

- (1) Are the proposed three essential phases for success actually important in practice in international partnerships?
- (2) What are the critical principles and attendant practices in guiding a management practice that can integrally and synergistically facilitate the essential phases?
- (3) How are the current strategic management processes on the DDP model being implemented by Japanese universities, to what extent are they based on these critical principles, and what is the limit of their usefulness?
- (4) What are the key features of a comprehensive and organised strategic alliance, and what added value does such alliance provide that a partial and task-specific partnership may not in achieving successful international partnerships in the case of Japanese universities?
- (5) What are the implications of this phase- and principle-based approach for universities in Japan, which aim to tap into the potential benefits of international partnerships?

Figure 9. A Phase- and Principle-Based Management Model for Successful International Partnerships



4.6 Conclusion

This chapter introduces the theoretical framework of the three essential phases and the three critical principles and their attendant practices. The three essential phases, namely, building a partnership, consolidation and catalysing maturity, and maintaining a positive life cycle between growth and consolidation, play significant roles in the development of a successful international partnership. For the three essential phases to integrate, partnering organisations need to understand the management approach that embeds the three critical principles and their attendant practices in its management structures and processes. Once they fully understand the approach, it can then be employed. The three proposed principles are accountability, transparency, and learning capacity.

By combining these concepts, this study proposes a theoretical framework outlining a successful international university partnership: (1) all relevant internal organs of each partnering university need to have the capacity to understand the three critical principles and exercise their attendant practices in their management process; (2) a partnership of multiple universities constituted by capable organs can exercise the best management approach that embeds the three critical principles into their management practices; (3) such a partnership acquires the capacity to facilitate the three essential phases to work integrally and synergistically in its management structures and processes. Consequently, the chance of success of the partnership is maximised.

Using this theoretical framework of the phase- and principle-based management model for successful international partnerships for a pre-selected framework, this thesis will conduct an empirical study on multiple universities engaging in international partnerships from different countries to explore whether existing universities actually consider the three phases and the three critical principles as important, and how they have developed and improved their management structures and processes to implement their partnerships. Then this thesis attempts to explore the efficacy and limitations of the partnership management by the observed universities, and thereby make suggestions to help them to improve their management structures and processes. The following chapter describes the details of the research approach and the study's methodology of data collection and analysis.

CHAPTER 5

RESEARCH METHODS

5.1 Introduction

Chapter 4 introduced the thesis's theoretical framework of a phase- and principle-based management model comprising three essential phases, and three critical principles and their attendant practices. Using the theoretical framework as a pre-selected framework, this empirical study aims to understand what principles and attendant practices are perceived most crucial to facilitate each proposed phase, and then identify the best phase- and principle-based management approach for international partnerships among universities. To be more precise, this study examines a number of case studies with multiple universities from different countries engaged in international partnerships of different types, to test these concepts of three essential phases and three critical principles and their attendant practices. Through the case study approach, this study attempts to determine whether existing universities consider the three essential phases and the three critical principles as important, and *how* they have developed and improved their management structures and processes to implement their international partnerships. In line with the aim, a main research question and sub questions were developed.

The pre-selected theoretical framework of a phase- and principle-based management model is empirically tested by case studies with multiple universities from Japan, the United Kingdom, Belgium, Sweden, and Australia, engaging in different types of international partnerships.

Main research question:

What might a phase- and principle-based management approach contribute to the understanding and success of international partnerships between universities, specifically in a Japanese context?

Sub questions:

- (1) Are the proposed three essential phases for success actually important in practice in international partnerships?
- (2) What are the critical principles and attendant practices in guiding a management practice that can integrally and synergistically facilitate the essential phases?
- (3) How are the current strategic management processes on the DDP model being implemented by Japanese universities, to what extent are they based on these critical

principles, and what is the limit of their usefulness?

- (4) What are the key features of a comprehensive and organised strategic alliance, and what added value does such alliance provide that a partial and task-specific partnership may not in achieving successful international partnerships in the case of Japanese universities?
- (5) What are the implications of this phase- and principle-based approach for universities in Japan, which aim to tap into the potential benefits of international partnerships?

Based on those research questions, this thesis conducts an empirical study on existing multiple universities from different countries engaging in international partnerships. This chapter will elucidate the details of the research approach, the methodology of the data collection, and the analysis of this study.

5.2 Positionality Statement

The present author has worked for two Japanese universities (one national, the other public) as an administrator for about 25 years in total. During that time, she has been engaged in the universities' international relations. She has organised international activities, including international conferences, student mobility programmes, staff development programmes, and international partnerships. For many of those activities, she worked with counterpart administrators at overseas universities. She developed a short-term international educational programme in collaboration with multiple universities from Asian countries; she served as secretary of an oversight committee of an international consortium comprising senior administrators representing seven multinational universities. She also served as an administrative director of the European Union Institute in Japan, Kyushu; established by Kyushu University, that was one of the European Union's worldwide academic institutions, with funding from the European Union. As an administrative director, she managed personnel and financial matters, public relations, relevant committees, and all activities organised by the institute in collaboration with other universities from Japan and some European Union member countries.

This work experience had a deep effect on the author. She developed a strong interest in international partnerships with universities: the kind of partnerships that universities are implementing and how they manage such partnerships. In this regard, she is particularly interested in which management mechanisms function well in comprehensive international partnerships that lie outside the experience of Japanese universities; she is also interested in

the improvements that people in management believe possible through management mechanisms. Many studies have been conducted on the subject of international partnerships in higher education, and a number of success factors are indicated in the literature. Success factors conceptually reveal which elements are critical for success in international partnerships; however, beyond conceptual knowledge, the author would like to determine what people in management are actually doing to make partnerships function.

Through her own experience, the author understands the importance of the various success factors indicated in the literature. Based on that understanding, her interest is more on how actual practice is affected by such success factors. This interest stems from the author's positionality as a practitioner. Practitioner research, which is in the realm of practical knowledge, raises concerns over the successful performance of daily tasks and prompts understanding and creating efficient work practices (Coghlan 2015, p.2354; Jarvix 1999, p.xi).

The author has attempted to re-conceptualise existing theories and generate her own theoretical framework of a management model that most likely leads an international partnership to success, i.e., a phase- and principle-based management model for successful international partnerships. In generating the model, the author uses values based on her experience as a practitioner: she employs them to identify the essential phases, critical principles, and theoretical framework of a phase- and principle-based management model for successful international partnerships. The author then subjects that theoretical framework to empirical study to prove if it is actually recognised important in existing partnerships. Through this experimental process, the present research attempts to identify which practices are actually implemented in existing partnerships. Those practices can serve as helpful examples for all universities that are developing international partnerships towards improving practices and discovering workable solutions.

5.3 Research Approach

5.3.1 Ontology and Epistemology

“Ontology is about what we are looking at—the kind of events that exist in the social world” (Thomas 2009, p.87). “Epistemology provides a philosophical background for deciding what kinds of knowledge are legitimate and adequate” (Gray 2004, p.16). In other words, “epistemology is concerned with the possibilities, nature, sources and limitations of knowledge in the field of study” (Dudovskiy 2016). Considering that this study aims to

understand what principles and attendant practices are commonly recognised by those engaged in an international partnership as important for the partnership's success, the ontological position of this study is that those principles and practices (social entities) are perceived subjectively. Based on this ontological position, this study entails qualitative research by adopting a constructivism perspective. For constructivism, truth and meaning are created by the subject's interactions. "Meaning is constructed not discovered, so subjects construct their own meaning in different ways, even in relation to the same phenomenon" (Gray 2004, p.17).

This qualitative research study adopts an interpretivist and naturalistic approach to empirical knowledge obtained through interviews, and a case study approach is employed as a research method. Interpretivism requires researchers to interpret the various elements of a study; thus interpretivism integrates human interest into a study (Dudovskiy 2016). Using the case study method, attempts are made to understand the particularity and complexity of the management structures and processes of individual universities through the analysis of interview transcripts. The information obtained is interpreted by the author, compared with existing theories, and then existing theories can be revised to create new knowledge. This approach to reality can be described as a hermeneutic approach to interpretation and understanding.

In the process of interpreting and understanding, the author's own values and understandings are not excluded but rather used to help interpret the views expressed by interviewees. The author recognises her positionality and understands that this is likely to affect her interpretation. Being fully aware of this situation, the author behaves as naturally as possible in the social world to attempt to properly understand the social entities. "People have feelings and understandings and these affect the ways that they perceive and interpret the world. Not only is it impossible to eliminate these but these are the stuff out of which interpretation is made" (Thomas 2009, p.75-76).

5.3.2 Hermeneutic Circle

5.3.2.1 The concept of the hermeneutic circle

Hermeneutics is the theory of the "understanding and interpretation of linguistic and non-linguistic expressions" (Ramberg and Gjesdal 2014). Hermeneutics was initially applied to the interpretation of biblical texts in the Middle Ages and later expanded its application to wider disciplines including written, verbal, and nonverbal communications. Central figures in the development of early modern hermeneutics include Giambattista Vico and Baruch Spinoza. Hermeneutics was then progressed and developed by many philosophers including Friedrich Schleiermacher, Wilhelm Dilthey, Martin Heidegger, Hans-Georg Gadamer, Paul Ricoeur,

and Jacques Derrida (Ibid.).

It is generally believed that hermeneutics and the hermeneutic circle were first conceptualised by Spinoza in the 17th century. According to Spinoza, “there is an analogy between our understanding of nature and our understanding of the Scriptures,” in that “our understanding of the parts hinges on our understanding of a large whole, which again, can only be understood on the basis of the parts” (Ibid.). This hermeneutic circle, the interplay between the parts and the whole of the text, is an important theme of hermeneutics (Ibid.).

Schleiermacher explains in his concept of the hermeneutic circle that understanding a text occurs when the text is compared with other texts, while continuously keeping sight of the uniqueness of the particular work (Ibid.). Furthermore, the quest to understand is continuous because there is no promise that full understanding will be attained. In Schleiermacher’s hermeneutics, understanding others is achieved with an openness obtained by “systematically scrutinising our own hermeneutic prejudices” and freedom from “filtering another’s speech or writing through our own cultural, theological, or philosophical frame of mind” (Ibid.).

After Schleiermacher, Dilthey was the first to ground hermeneutics in a general theory of human life and existence (Ibid.). For Dilthey, “to the extent that rules can guide the understanding of the objectifications of life it constitutes interpretation” (Makkreel 2012). Thus, following Dilthey’s approach, hermeneutics is the theory of interpretation that relates to all human objectifications (Ibid.), and is liberated from prejudices and subjectivity. Moreover, for Dilthey and Schleiermacher, hermeneutics is purely methodological—a methodology to found the human sciences, and the science of interpretation (Malpas 2015).

Heidegger redevelops hermeneutics in a very different frame. For Heidegger, hermeneutics is ontology. Hermeneutics concerns the most fundamental conditions of being human in the world and understanding is the very mode of being of human (Ramberg and Gjesdal 2014). “If we are to understand anything at all, we must already find ourselves ‘in’ the world ‘along with’ that which is to be understood”; in other words “we already need to have some prior understanding of that work otherwise it cannot even be seen as something to be understood” (Malpas 2015). The finding of ourselves in the world is closely connected to our self-understanding. The “world is tacitly intelligible”, therefore an understanding of the world is not achieved by the collection of neutral facts, but through interpretation (Ramberg and Gjesdal 2014). Interpretation occurs by our self-understanding of the world. The hermeneutic circle is the “interplay between our self-understanding and our understanding of the world” (Ibid.).

Gadamer was a student of Heidegger, dedicated to advancing Heidegger's theory of hermeneutics. According to Gadamer, regarding interpretation, "we come to understand what at first appears alien, and we gain a better and more profound understanding not only of the text but also of ourselves" (Ibid.). He refers to this movement of understanding as the "fusion of horizons." The process of the fusion of horizons is continuous and never achieves any final completion because the "hermeneutic situation can never be made completely transparent to us" (Malpas 2015). Therefore, it is important that our ongoing endeavours of understanding—through the interplay between the parts and the whole—contribute to obtaining a more profound understanding of the world. Another highlight in Gadamer's hermeneutic circle is the role of prejudgment in understanding. According to Gadamer, all interpretations are prejudgmental and "interpretation is always oriented to present concerns and interests" (Ibid.). Those present concerns and interests are prejudgements and it is prejudgement that brings us to "enter into the dialogue with the matter at issue" (Ibid.). Prejudgement has the same intrinsic characteristic as Heidegger's "finding ourselves in the world" or "self-understanding." Thus, this is Gadamer's hermeneutic circle.

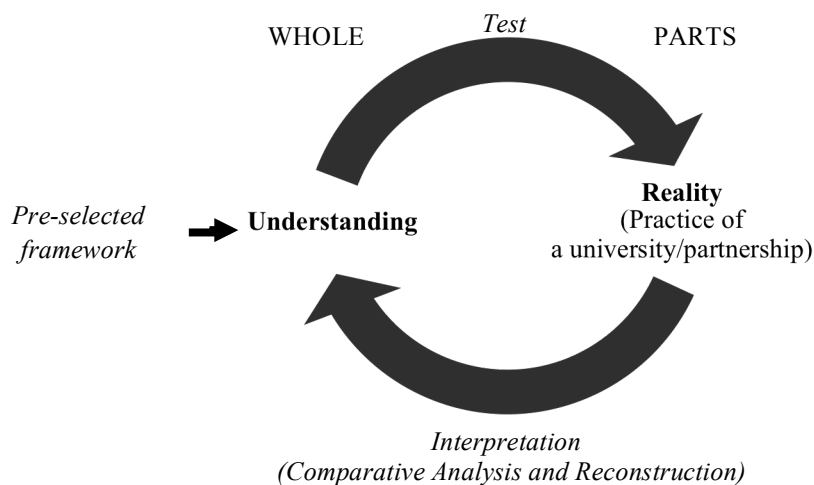
5.3.2.2 Developing a hermeneutic circle in the present study

To recapitulate the hermeneutic circle reflecting upon the concepts by Heidegger and Gadamer, the hermeneutic circle begins with our self-understanding or prejudgement of matters. The self-understanding/prejudgement will be reconstructed through the interpretation of individual parts, and thus matters will be understood as a whole. This process is ongoing like a circle, as complete understanding will never be achieved. Applying the concept of the hermeneutic circle, the research approach of this thesis can be explained as follows and is illustrated in Figure 10.

The present study employs a theoretical framework of a phase- and principle-based management model for successful international partnerships. The model comprises two ideas: three essential phases and three critical principles of successful partnership management. Figure 2 illustrates the theoretical structure of the framework. Those ideas are based on a previous study. The idea of three essential phases synthesises three source concepts: the life cycle of a higher education institution; stages in the evolving maturity of a university-stakeholder cluster; and inter-institutional cooperation at a regional level (Davies 1998). The other idea of the three critical principles (accountability, transparency, and learning capacity) was adapted from success factors identified in an earlier study. However, the success factors identified in the relevant literature were filtered through the author's experience and learning as a practitioner and integrated into the three critical principles. Chapter 4 discusses

the theoretical framework of the phase- and principle-based model and the two ideas. That framework constitutes the pre-selected framework of the present study and is termed a prejudgement in line with Gadamer's concept. The existing understanding (pre-selected framework) will be tested by the real practices of the universities and partnerships in the case studies. Real practices will be examined by analysing empirical data collected from case studies, and the results will be compared to existing understanding. This process is an interpretation of reality. The existing understanding will then be reconstructed through interpretation. The new understanding will be further reconstructed through the interpretation of another reality founded through another case study. According to Roulston (2014, p.12) this is an iterative process involved in reviewing the literature, reflecting on data and making assertions, and revising prior understandings of topics. In this process, understanding, which is continually reconstructed, can be equal to a 'whole', and the real practices of the universities/partnerships are the 'parts'. The process of interpreting reality and reconstructing understanding is repeated to obtain a better understanding and knowledge of international partnership management. This is the hermeneutic circle of this study.

Figure 10. Hermeneutic Circle in the Present Study



5.3.3 The Case Study

The form of the management structures and processes varies depending on each university and may be adapted as the occasion demands in response to changing environments. However, as there is no single common management practice for all universities, and in the light of this investigation into the management practices of multiple universities, the importance of understanding the particularity and complexity of each single case is emphasised (Thomas 2009, p.116). Jarvis (1999, p.30, 31, 86) supports the appropriation of a case study approach to

investigate practices because the nature of the practice is transitory, personal, and a subjective phenomenon to the practitioner. Furthermore, because knowledge about practices cannot be measured, a case study approach seems the most reliable way to examine practices.

Punch (2005, p.145) states that, “a common criticism of case studies concerns its limitation in generalizability.” Jarvis (1999, p.86) also mentions that the uniqueness of case studies may raise questions about the usefulness of case studies in a wider context. In this sense, the case study approach may not be suitable as a research method in this study, which aims to identify a phase- and principle-based approach that is applicable and transferable to universities in general. Despite this criticism regarding the limitation of generalizability in case studies, this study relies on the assertion by Punch that case studies can produce generalizable results by conceptualising and developing propositions. On this issue, Punch states:

To conceptualise means that on the basis of the disciplined study of this case, and using methods for analysis, which focus on conceptualising rather than on describing, ... the researcher develops one or more new concepts to explain some aspect of what has been studied. Indeed, to develop such new concepts may require the sort of in-depth study that is only possible in a case study. To develop propositions means that, based on the case studied, the researcher puts forward one or more propositions—they could be called hypotheses—which link concepts of factors within the case. These can then be assessed for their applicability and transferability to other situations (Punch 2005, p. 146).

In addition, case studies can provide a holistic focus on the particularity of a single case, and may contribute to understanding why and how an individual university evolved their practice in their particular circumstances. With the interactive process of understanding multiple individual cases and a comparative analysis of the particularity and similarities of the cases, the case study approach might enable the formulation of propositions or hypotheses for future research (Jarvis 1999, p.80). Scapens (1990, p.269) shares the same view to advocate the effectiveness of case studies as they are useful in generating propositions that can be tested later with larger samples. On this issue, Punch remarks:

... the case being studied might be unusual, unique or not yet understood, so that building an in-depth understanding of the case is valuable, ... only in-depth case study can provide understanding of the important aspects of a new or persistently problematic research area. This is particularly true when complex social behaviour is involved, as in much social research. Discovering the important features, developing understanding of

them, and conceptualising them for future study, are often best achieved through the case study strategy (Punch 2005, p.147-148).

Overall, the case study approach can be considered to be the most appropriate strategy for this study aiming to conceptualise a phase- and principle-based approach to management structures and processes derived from the findings of multiple university cases.

As commented by Punch (Ibid.), case studies are able to discover important features, develop an understanding of them, and conceptualise them for future study. This will lead to the next important process for creating hypotheses or new knowledge. During this process, a model observed in one case may be related to other models discovered in other cases (prior theories), and consequently, the pattern of models developed to explain a case should always be compared with existing theories (Scapens 1990, p. 275). Following these case study methodologies, this study intends to gain some knowledge from reality, and understand and interpret those findings to create new knowledge.

5.4 Selecting Cases for Study

5.4.1 Case Study of Two Types of International Partnerships

The main focus of this study is to discover the management approach that best contributes to the success of international partnerships between universities. The eventual goal is to make helpful suggestions to existing universities based on the theoretical framework of a phase- and principle-based management approach. For this purpose, it is considered helpful to study the particularity of real management practices in different types of partnerships and explore the efficacy and limitations of their management model. Thus, a number of case studies with multiple universities from different countries and engaging in international partnerships of different types will be examined. This thesis intends to determine the following in each case study:

- Are the three essential phases for success actually considered important?
- Are the three critical principles actually considered important?
- Which particular practices are perceived to facilitate the three essential phases as well as embody the critical principles?
- How have the practices in the management structures and processes been developed and improved to maximise the chance of a successful partnership?

The selected cases for this study comprise two types of international partnerships, namely (1) a partial and task-specific international partnership and (2) a comprehensive and organised strategic alliance.

A partial and task-specific partnership is a task-specific alliance relating to a double degree programme (DDP). This type of partnership is a basic and popular type of partnership that many universities in Japan and worldwide are currently implementing. Therefore, it is an appropriate case study of a 'standard' management approach of international partnerships. As it is a partial and task-specific partnership, it could be argued that the management of this type of partnership does not involve dealing with significant challenges and difficulties caused by the complexity of the partnership. Accordingly, a partial and task-specific partnership could derive a simple initial-stage management model, and there is plenty of room for development.

The second type is a comprehensive and organised strategic alliance among multiple universities from different countries; the partnering universities collaborate in a broad range of activities, which involve a wide range of people, departments, offices, and other elements among the partners. This type of partnership embraces greater complexity than a partial and task-specific partnership; accordingly, more mature, sophisticated management structures and processes are required to operate a comprehensive partnership. It can also be envisaged that this type of partnership tends to require a certain degree of entrepreneurial spirit to ensure innovation occurs. Thus, a case study of a comprehensive and organised strategic alliance represents an investigation into the 'best practices' of management approaches.

The idea behind the 'standard' and 'best practice' management approaches is an interpretative framework based on a literature review and the author's own experience as a practitioner. In terms of the literature, use is made of Davies's concepts: 'maturity and operational effectiveness' and 'capability to control instability caused by the complexity'. These concepts are elaborated in Chapter 4.2.1. A partial and task-specific partnership is bilateral; its scope is simply implementing a DDP, and the range of stakeholders is small. Thus, it does not result in much instability caused by complexity or dealing with significant challenges. This simple initial-stage partnership has considerable potential to develop into a more advanced one. DDPs are the most popular type of international partnership between universities in Japan and other countries.

By contrast, a comprehensive and organised strategic alliance facilitates a much wider scope of activities and more extensive range of stakeholders. Accordingly, this type of partnership

embodies greater complexity, and more matured and sophisticated management is necessary to control such complexity. Thus, this type of partnership may be considered an advance from the partial and task-specific partnership approach, which is in the initial-stage of partnership development. The present thesis argues that the initial-stage model of a DDP partnership should be regarded as ‘standard’; the more comprehensive, organised model should be considered the ‘best practice’, i.e., a model that has evolved from the ‘standard’.

This study focuses on the ‘standard’ practices and the ‘best practices’ of the management approach employed in these two different types of partnerships. Specifically the following partnerships and universities are studied:

- (1) A partial and task-specific partnership between a Japanese university and its partner: the two bilateral partnerships of a DDP will be studied. One partnership is between the Faculty of Law of Kyushu University (L-KU) in Japan and the Centre for European Studies of the University of Leuven (AE-KUL) in Belgium. The second partnership is between the Faculty of Engineering of Kyushu University (E-KU) and the Faculty of Engineering of Lund University (E-Lund) in Sweden.
- (2) A comprehensive and organised strategic alliance between entrepreneurial universities: the universities chosen are the University of Warwick in the United Kingdom and Monash University in Australia.

5.4.2 Partial and Task-Specific Partnerships of Kyushu University with KU Leuven and Lund University

The two double degree programme partnerships

Both two partnerships between Kyushu University and the University of Leuven (KU Leuven) and between Kyushu University and Lund University fall under the common framework of EU–Japan Advanced Multidisciplinary Master Studies (EU–JAMM), which comes under the Industrialised Countries Instrument–Education Cooperation Programme between the EU and Japan. The EU–JAMM consortium consists of KU Leuven, University of Essex, University of Groningen, Jagiellonian University, Lund University, Tilburg University, Kobe University, Kyushu University, Osaka University, and Nara Women’s University (KU Leuven 2015). L-KU and AE-KUL are collaborating in a double master degree programme in European Studies and Law, while E-KU and E-Lund are collaborating in a double master degree programme in Engineering and Science.

Kyushu University

Kyushu University is one of Japan's 86 national universities and is ranked among the top ten national universities. Founded in 1911, the university has 11 undergraduate schools, 18 graduate schools, and 4 research institutes in a wide range of disciplines including Humanities and Social Sciences, Science, Medicine, Engineering, Agriculture, and Design. In 2015, student enrolments totalled more than 18,000, with 2,000 academic staff (Kyushu 2016-2017). Kyushu University has been granted all the major national strategic funds for internationalisation including the Global 30, the Top Global University Project, and the Re-inventing Japan Project. These national projects aim to promote Japanese universities' collaborative programmes for education and research with overseas universities. Thereby, Kyushu University is one of the front-running Japanese universities in internationalisation and it is useful to compare its situation, representing Japanese universities, with that of Western universities. In this way, any underlying problems and hindrances can be identified, as can any necessary improvements for Japanese universities.

KU Leuven

KU Leuven, founded in 1425, is the largest university in Belgium and one of the oldest and most renowned research universities in Europe. They have various faculties, departments, and schools in the area of Humanities and Social Sciences, Science, Engineering and Technology, and Biomedical Sciences. As of 2015, the university had more than 57,000 students and more than 11,000 employees (KU Leuven 2015). The KU Leuven management team is taking a more strategic and concentrated approach to internationalisation by adopting a new policy, "Internationalisation: Less is More", declaring that "the pursuance of clear policy objectives leads to leaving out the unnecessary and to concentrating on the essential" (KU Leuven 2013). Along with the new policy, their international office has re-organised its structure and duties so as to support the core tripartite aspects of the university's international policy, namely institutional co-operation, mobility, and development co-operation.

Lund University

Lund University, founded in 1666 in the city of Lund, Sweden, is one of northern Europe's oldest universities. It provides education and research in Engineering, Science, Law, Social Sciences, Economics and Management, Medicine, Humanities, Theology, Fine Art, and Music and Drama. As of 2016, approximately 42,000 students and 7,400 employees were based at their campuses in Lund, Malmö, and Helsingborg. Lund University declares itself to be an international university with global recruitment to achieve internationalisation in global co-operation: "we cooperate with the international higher education community and carry out research and education in global issues of decisive importance to the future of mankind". The

university is a member of the international networks of the League of European Research Universities and Universitas 21, co-operating with 600 partner universities in over 70 countries (Lund 2016).

5.4.3 A Comprehensive and Organised Strategic Alliance between the University of Warwick and Monash University

The Monash Warwick Alliance

The University of Warwick and Monash University are widely recognised as universities that have developed entrepreneurial cultures. The two universities have worked closely together since 2009 and entered into a globally integrated university alliance to launch the Monash Warwick Alliance in 2012. The alliance is backed by annual budgets of AUD\$4.5 m (Monash) and GBP£3 m (Warwick) for jointly appointed staff, research projects, education collaboration, and student activities. The alliance is operated using shared resources and governance, and it is similar to a joint venture in the corporate sector. The strength of the alliance lies in its collaboration on sustainable chemistry, nanomedicine, advanced imaging and materials, and understanding cultures, while the universities are also making innovations in learning and teaching through joint academic positions, online learning, and joint Ph.D. and master's programmes (Monash Warwick Alliance 2015). Its achievements in just 5 years are remarkable as over 600 academics have been involved in 64 alliance-supported projects, and over 1,000 students have engaged in alliance activities. The alliance has been renewed for a further 5-year term and received the Australian Financial Review Higher Education Award for International Education in 2016 (Monash Warwick Alliance 2016). From all this, it can be said that the Monash Warwick Alliance is one of the most matured advanced global models of its kind, from which we can learn much.

The University of Warwick

The University of Warwick was founded in 1965 as a research university in Coventry, England. As of 2015, they offer undergraduate and graduate courses in the Arts, Science, Social Sciences, and Medicine to more than 23,000 students. The staff population totals approximately 5,600 employees (Warwick 2015a). Since its establishment, the University of Warwick has enjoyed a history of developing innovative allied activities with the local community and industries. The university is proud of its entrepreneurialism: "Warwick is a leading university, somewhere forward-looking and ambitious where the starting point is always 'anything is possible'. ...We strive to lead rather than follow and are renowned for our entrepreneurialism and global outlook" (Ibid., p.2). Clark (1998, p.38) comments on the university's entrepreneurialism in his book, highlighting strengthened administrative capacity

as an element upon which university transformation can be built: “...we take Warwick seriously as a powerful model of the contemporary reformed university, ...Warwick teaches us much about what organisational changes enter into the making of entrepreneurial universities.” The university places high value on international partnerships and such relationships represent key aspect of their mission: “Collaborating with other universities and sharing knowledge and resources with universities and academic communities throughout the world is an important part of Warwick’s international mission” (Warwick 2015b).

Monash University

Monash University, founded in 1958 in Melbourne, is a member of the Group of Eight coalition of Australia’s eight research-intensive universities¹⁴. As of 2015, they accommodate more than 70,000 students and more than 14,800 staff members. They offer courses in a wide range of disciplines including Arts, Design and Architecture, Business and Economics, Education, Law, Medicine, Science, and Engineering (Monash 2015a). The university enjoys high international exposure and participation in international alliances, with overseas branch campuses in China, Italy, and India in collaboration with local institutes, and two independent overseas campuses in Malaysia and South Africa.

Monash University published their international plan in 2014 with an emphasis on global collaboration, stating that such alliances are necessary, “to improve the University’s position on international rankings, grow opportunities for students, researchers and collaborative partners worldwide, and expand participation in the Monash global community” (Monash 2015b). Monash adopted a research-led international strategy targeting a small number of relationships with top institutions around the world in globally significant locations such as China, India, the United States, the United Kingdom, Continental Europe, and the United Arab Emirates. They have selected three partners in its Global Partnership Framework, one being the University of Warwick (the other two are Arizona State University in the United States and Sichuan University in China) (Fielden 2011, p.41).

5.5 Data Collection

Study data are collected through a qualitative method of semi-structured interviews. Documents are also sourced to obtain basic information regarding the management structures and processes of the partnerships and universities. These documents are collected through

¹⁴ Monash University, The Australian National University, The University of Adelaide, The University of Melbourne, The University of Queensland, The University of Sydney, The University of Western Australia, The University of New South Wales Sydney

Internet searches and direct inquiries to each relevant university.

5.5.1 Interview Questions

One of the purposes of the semi-structured interviews is to collect detailed and specific data on the practices of universities and partnerships. Second, and more importantly, the purpose is to collect qualitative data of interviewees' understanding on the management of the partnership. For example, what do they think about the effectiveness of the partnership management; what are they doing to promote partnership activities and facilitate overall partnership management; and what do they consider to be insufficient and what can be improved in the management. Through the analysis of interviewees' narratives, this study intends to look at the relevant actors' self-understanding on what practices they consider important to create management structures and processes. What each person values is usually implicitly hidden behind what they do in real life, and they are unaware of the values embedded in their practices. Therefore, obtaining explicit explanations regarding the actors' practices through interviews is the only way to reveal the values embedded in existing practices.

The semi-structured interviews begin with a series of structured questions and continue with some follow-up questions. Structured questions are constructed based on the main and sub research questions of this study and with a focus on the three essential phases and the three critical principles. In addition, the information and knowledge gained from the documents as well as the position of the interviewee are referred to in constructing follow-up questions. Therefore, the follow-up questions may be different depending on the interviewee. The structured questions are divided into six thematic sections as shown below (Appendix 5 for all interview questions):

1. Introductory question: elaboration about the interviewee's roles and responsibility;
2. Questions about the development and initiation stage of the partnership and general management structures;
3. Questions about the management configuration that each partner university actually built to facilitate the partnership;
4. Questions about the management structures and processes that each university adopted to facilitate the partnership based on the three essential phases;
5. Questions about the stagnation stage and/or the decay and termination stage;
6. Questions about life cycle stages: at what stage is the partnership currently at, and which stage(s) is (are) essential for success.

All interviews were conducted in English except those conducted with Japanese interviewees. For Japanese participants, all interview questions were in Japanese so that they could freely express their opinions and values without the barrier of a foreign language.

5.5.2 Interview Schedule

Interviews were conducted between October 2015 and May 2016. Interviewees were selected from those directly involved in the partnership and also from those with less direct involvement but well acquainted with the partnership. They were senior level administrators responsible for and involved in decision-making for the partnership as well as the internationalisation of the university, academics responsible for carrying out collaborative activities in leadership positions, senior level administrators in the office or unit engaged in the practical implementation of alliance activities, and other employees involved in the partnership.

In approaching the interviewees, the author initially e-mailed the administrative unit in charge of the partnership in each university. In the case of the Monash Warwick Alliance, they have administrative teams in both Monash University and the University of Warwick, and therefore the author contacted the administrative team seeking to arrange interviews with key personnel. A year before conducting the interviews, the author made a preliminary visit to the administrative team at the University of Warwick to introduce the study and request their assistance.

In case of KU Leuven and Kyushu University, the author contacted the key professors engaged in the partnership, while for Lund University, the International Office of the Faculty of Engineering agreed to offer assistance. When requesting the assistance of the contact person in each university, an Interview Plan (Appendix 2) was sent for the contact person's reference in making arrangements for interviews. Table 4 shows the interview schedule.

Table 4. Interview Schedule

Interview Venue	Interviewees	Dates
Faculty of Law, Kyushu University	<ul style="list-style-type: none"> • Professor, Chair of the International General Management Committee and the International Affairs Committee • Associate Professor managing DDP partnerships 	22 October 2015 26 October 2015

Interview Venue	Interviewees	Dates
Monash University	<ul style="list-style-type: none"> • Deputy Vice-Chancellor and Vice-President (Global Engagement) • Academic Vice-Chancellor and Director of the Monash Warwick Alliance • Professor, School of Languages, Literatures, Cultures and Linguistics • Registrar and Chief Operating Officer, the University of Warwick • Project Coordinator, the Monash Warwick Alliance 	6 November 2015 9 November 2015 10 November 2015 11 November 2015
Faculty of Engineering, Kyushu University	<ul style="list-style-type: none"> • Professor, academic leader for the DDP partnership • Professor, administrative leader for the DDP partnership • Administrator in charge of agreements 	9 December 2015
KU Leuven	<ul style="list-style-type: none"> • Programme coordinator for the DDP partnership at the Master of European Studies • Professor, coordinator for the DDP partnership at the Faculty of Letters • Administrator, International Student and Staff Mobility 	7 March 2016 8 March 2016
Faculty of Engineering, Lund University	<ul style="list-style-type: none"> • Assistant Dean • Head of the International Office • Professor, coordinator for the DDP partnership 	11 March 2016 14 March 2016
The University of Warwick	<ul style="list-style-type: none"> • Deputy Registrar • Director, Research Technology Platforms • Global Partnerships Manager • Senior Assistant Registrar (Strategic Partnerships), Project Coordinator, the Monash Warwick Alliance 	25 May 2016 26 May 2016

5.6 Data Analysis

The present study employs the theoretical framework of a phase- and principle-based management model for successful international partnerships, which was derived from source concepts identified in a previous study (see Chapter 4.1 for further descriptions of this theoretical framework.) A phase- and principle-based model for successful international partnerships constitutes the pre-selected framework of the hermeneutic circle of the present study. This pre-selected framework was tested by the real practices of the universities and partnerships in the case studies. Real practices were examined by analysing empirical data

collected from case studies, and the results were compared to existing understanding. Chapter 5.3.2.2 elaborates this hermeneutic analysis process.

This study employs thematic analysis for its data analysis. First, all recorded interviews were transcribed verbatim by the author and provided for analysis. The first cycle of analysis started with the coding of the transcribed text from each case study. Coding is a method to organise and group similarly coded data into categories or families (Saldana 2009, p.3). The code list used in this analysis was provisionally developed based on the research questions and related to the three essential phases and the three critical principles of this thesis. Specifically, the initial codes are the phase categories of building a partnership, consolidation and catalysing maturity, maintaining a positive cycle between growth and consolidation, and the principle categories of accountability, transparency, and learning capacity.

The analysis coded the phrases, sentences, and paragraphs of text where respondents explicitly stated what they did or what they think about each phase. It also coded respondents' descriptions regarding the practices they actually carry out, whether they value what they did, and what they think they need to do, which could be perceived to demonstrate accountability, transparency, and learning capacity. Because this study explores the respondents' descriptions regarding actual practices relating to the three phases, it is natural that any of the phase codes and any of the principle codes could be applied simultaneously to the same text. It is also possible that multiple principle codes are applied to the same text, as there could be some text that refers to multiple principles.

As Thornberg and Charmaz (2014, p.10) states that, "sorting and clustering codes might result in revising codes as well as constructions of new, more elaborated codes by merging or combining identical or similar initial codes," the initial code list for this analysis went through a slight amendment. While reading the text, some sentences and phrases were found to be very important and closely related to the initial codes, but not completely. Additional codes were then developed and added to the initial code list. Those additional codes concern principle categories of adaptability, flexibility, pragmatism, versatility, and coordination and facilitation. These codes (with the exception of coordination and facilitation) were closely related to learning capacity, and therefore they were included in learning capacity. Coordination and facilitation did not attach to any initial codes, therefore it was added as a new principle code.

Proceeding to code one transcript and then another, the author revisited previous transcripts several times to recode them. Some data were recoded because more accurate words or phrases were discovered for the original codes and some codes were merged as they were

conceptually similar (Saldana 2009, p.149).

After all the text was coded, the data was assembled and analysed across all cases in two stages. In the first stage, the cross-case analysis was done separately between the partial and task-specific partnerships and the comprehensive and organised strategic alliance. The assembled coded data of each partnership was matrix coded with the phase codes in rows and principle codes in columns to be sorted into three phase categories. Each phase category is grouped with initial principle categories and later included principle categories. Figure 11 shows a configuration model of the matrix coding. The matrix-coded data shows what attendant practices the respondents actually did to demonstrate those critical principles, and whether they consider those practices to be important.

Figure 12 illustrates the two coding levels of the phase codes and principle codes in the phase of building a partnership. The results of the two levels of coding should reveal the attendant practices named by the respondents. To identify attendant practices, the same coding patterns are developed for the consolidation and catalysing maturity phase and the maintaining a positive cycle between growth and consolidation phase.

Following this analysis process, attendant practices for the critical principles in three essential phases were identified in each partnership model. The second stage of analysis compares the identified attendant practices between both models. The partnerships may share the same or different practices. Considering that the comprehensive and organised strategic alliance model implemented a much wider scope of activities, more varied practices were identified (some of which were identified in the partial and task-specific model). This analysis also attempted to identify the negative elements of the partial and task-specific model of the DDP partnerships that can cause fragmentation. The practices of the comprehensive and organised model of the Monash Warwick Alliance were then explored to find a feasible alternative for the initial model of the partial and task-specific partnership.

Figure 11. Diagram of Matrix-Coding Configuration

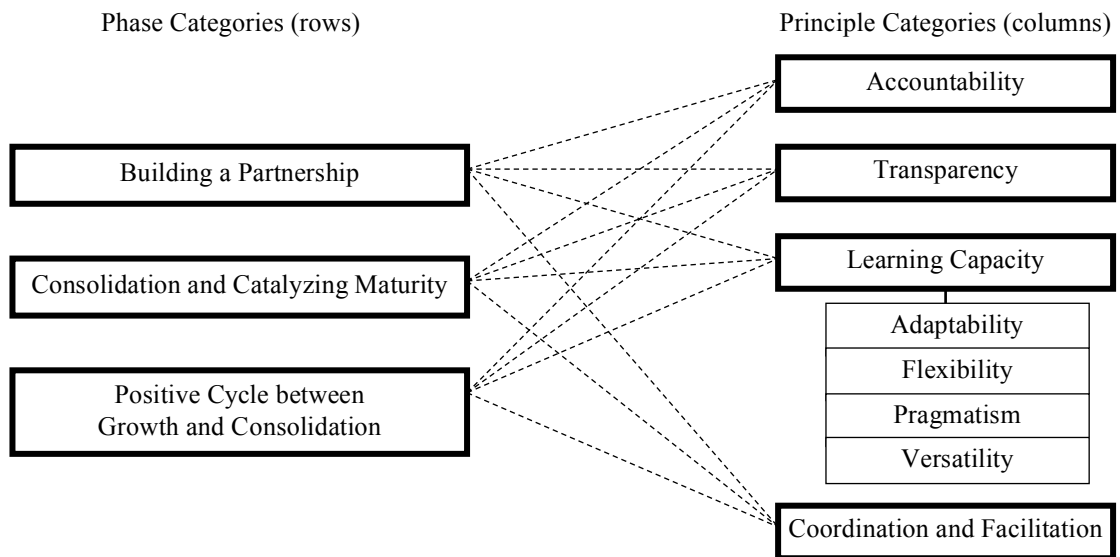
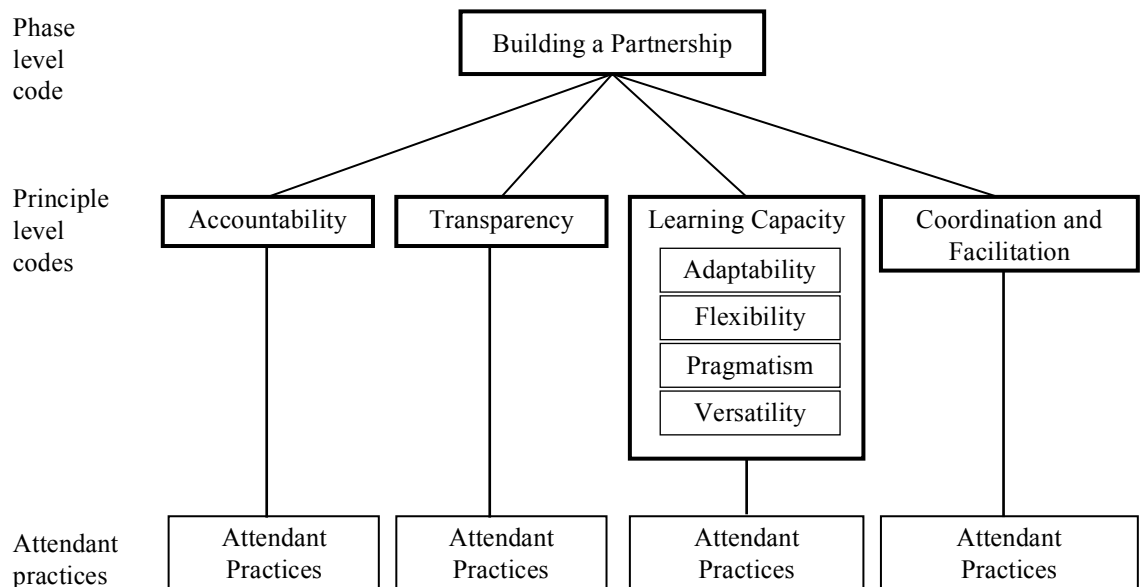


Figure 12. Diagram of Two Coding Levels and Attendant Practices (Building a Partnership Phase)



5.7 Ethical Considerations

Before interviews began, a letter seeking informed consent for the project (Appendix 3) was sent to interviewees to inform them of the purpose of the project and asking for consent for their interviews to be recorded and transcribed, and possibly quoted in any publications and presentations arising from this study. Before the final draft, including interview quotes, was submitted, the author asked for permission from all interviewees' to use the interview quotes. Regarding the Monash Warwick Alliance, the author concluded the Confidentiality

Agreement (Appendix 4) with Monash University and the University of Warwick in accordance with the relevant institutional act.

Below is a summary of the informed consent letter:

- All data will be treated with the utmost respect and will be securely stored.
- The provided information will be treated as confidential and will be anonymised.
- Anonymised direct quotes from the interview can be used in publications and presentations arising from this study.
- Information about this project, including interview data, might be shared with the thesis supervisor and other appropriate staff at the University of Bath.
- Interviews will be undertaken at a time and place that is convenient for the interviewee.

The following items were raised with members of the Monash Warwick Alliance in their consent form:

- E-mail contact is through the primary contact person of the Monash-Warwick Project Team based at Monash and restricted to reasonable levels.
- A first and final draft of any report or outcome of the research will be provided, together with a copy of the thesis for each university upon completion, for the review and comment by the Monash-Warwick Project Team.
- The author agrees that the Monash Warwick Alliance will be able to use material produced by the research work.

5.8 Limitations

International partnerships in the present higher education cover wide range of types and scopes. International partnerships can be in the form a simple bilateral student exchange agreement to a wider collaboration of more than three universities. Some partnerships can also include more comprehensive and broader collaborations such as global consortia and networks. In terms of the scope of activities, currently international partnerships developed by universities appear in many forms including: student, faculty and staff mobility, collaborative degrees (joint, double or dual, and consecutive degrees), collaborative teaching or joint curricula, overseas campuses, cooperative development and institutional capacity-building projects, collaborative academic operations (jointly established unit, a share space, etc.), and projects involving organisations, businesses, and communities (Gatewood and Sutton 2016, p.3-7). Although there is a broad range of study areas within international partnerships as described, the area of this thesis is limited to three bilateral partnerships, one of which

concerns multiple areas of scope and the other two are limited to a double degree programme.

Another limitation relates to the focus of this thesis, that is, the management approaches of partnerships and the individual partner universities. At present, many universities belong to international partnerships and it is possible that each university manages its partnership differently because of the particular conditions affecting that university (e.g., national higher education systems, institutional policy and culture, and financial situation). Therefore, the specific cases of the five universities analysed within this thesis are particular cases and may not be generalised.

With a sufficient understanding of the limitations, however, it is expected that the advantages of case study research will show that the management approach model proposed in this thesis could be applicable and transferable and tested later with larger samples.

In addition, the interviews conducted in this thesis were transcribed and interpreted by the author. Thus, case studies represent interpretations of the social reality and this raises the problem of researcher bias (Scapens 1990, p.277). To reduce such bias in the assessment of evidence as much as possible, the author's interpretations of the interviewees' comments were fed back to the interviewees for further scrutiny.

CHAPTER 6

FINDINGS

6.1 Introduction

As previously discussed, a phase- and principle-based management model for successful international partnerships was developed based on the assumption that the three critical principles are required to ensure the success of international partnerships, namely accountability, transparency, and learning capacity. Accountability is closely related to management competence, particularly to a leader's behavioural obligations of responsibility and answerability to stakeholders. Accountability embodies the scope of the authority of leadership and management roles. More specifically, it is embodied in those practices relating to a clear demarcation of responsibility in the process of decision making. This is also true for management, control, and the coordination of partnerships both between participating organisations and within each organisation (see Chapter 4.4 and Table 3 for further descriptions of accountability as a principle).

Transparency can create connections among those involved in the relevant organisations to enhance collaborative behaviour and trust. Thus, transparency is crucial for building collaboration and trust between partner organisations as well as among the constituent organs in such organisations.

Learning capacity is the ability to internalise experience and know-how to improve a partnership's future performance and reduce future instability. Learning organisations are able to learn from one another and accumulate knowledge and know-how, and utilise these advantages for continuous improvement, adaptation to changing conditions, and crisis management (Bronder and Pritzl 1992, p.418, 420).

Based on the idea of the three critical principles, this chapter analyses empirical data concerning both partial and task-specified international partnerships promoting a double degree programme (DDP) and the comprehensive and organised strategic alliance of the Monash Warwick Alliance. Based on these data, the attendant practices exhibited in the two types of international partnership can be identified.

6.2 Critical Principles and Practices in the Phase of Building a Partnership

6.2.1 Accountability and Attendant Practices in DDP Partnerships: Decision-Making Structures and Processes

The DDP partnerships in this study all originated from individual relationships among key faculty members. For example, these partnerships typically began with research or education collaborations between two academics from different universities, and the personal relationship grew to a faculty-level partnership. Differences arise when it comes to the stage of forming management structure, for example, what decision-making process to use, how the process works, and how their home university headquarters can support a partnership. For all sample DDP partnerships, decisions to build a partnership and the selection of a partner were made within the faculty. However, differences in the decision-making processes of each university were found out from the interviews as follows.

The Faculty of Engineering, Kyushu University (E-KU) has 12 departments and each department has divisions in specific research fields. A single division within civil engineering manages the programme with the Faculty of Engineering, Lund University (E-Lund), but E-KU does not have any solid management organisation (such as a faculty-level committee) responsible for discussing and making decisions specifically on international partnerships. A few managing academics within the civil engineering division are responsible for the decisions and management of the partnership. Only the DDP agreement requires the approval of the E-KU Faculty Meeting chaired by a faculty dean. The DDP agreement is then authorised by the university-wide International Affairs Committee, which is the university's highest decision-making organisation in terms of international affairs, and is chaired by the Executive Vice-President for International Affairs. Once an agreement is authorised, neither the E-KU Faculty Meeting nor the university-wide International Affairs Committee makes any contribution to the management of the programme.

For the Faculty of Law, Kyushu University (L-KU), there are two committees under the Faculty Meeting: the General Management Committee and the International Affairs Committee. With regard to DDPs and other international activities, proposed matters need to be approved first by the International Affairs Committee and then passed to the General Management Committee. Then, the L-KU Faculty Meeting provides the final approval. The General Management Committee, comprising professors (representing their departments) and senior administrative staff, is the key decision-making committee. It is very rare that the Faculty Meeting rejects a decision of the General Management Committee. Thus, the General

Management Committee exercises practical authority. One leading professor manages all international affairs and chairs both the General Management Committee and the International Affairs Committee. As in E-KU, a DDP agreement needs to be authorised by the L-KU Faculty Meeting and then the university-wide International Affairs Committee. However, those committees do not make any contribution to management matters.

In E-Lund, the Faculty Management Board is the supreme decision-making body and responsible for all policy aspects in the faculty including internationalisation. When they start a new programme, whether under the framework of the Erasmus programme or similar, the concerned department committee takes the proposal for a new programme to the Faculty Management Board to seek their approval. Once the programme is approved, the relevant department committee is responsible for management throughout the implementation of the programme. However, the department committee needs to consult the Faculty Management Board for important decisions to conform to the faculty's policy. They do not need to seek approval from the university's central administration to develop a DDP.

Decision making for the Centre for European Studies, the University of Leuven (AS-KUL) is more centralised. In the University of Leuven (KU Leuven), new programmes need to be approved first by the Faculty Meeting and then submitted to the university's Board of Management. The Vice-Rector for Education and the Vice-Rector for International Affairs, who are the members of the Board of Management, are both responsible for international education and research policy of the university, so they need to be fully consulted regarding the approval of new programmes before submitting proposals to the Board of Management. Once the AS-KUL programme has been centrally approved, a Programme Management Team takes responsibility for the management of all activities. The Programme Management Team consists of two professors, one coordinator, and one vice-coordinator. The Faculty Meeting and the university's Board of Management take a supervisory role, and offer support with regard to coordination and communication with the European Commission for financial management issues.

Both partnerships of E-KU–E-Lund and L-KU–AS-KUL come under the Erasmus Mundus framework, that is the EU–Japan Advanced Multidisciplinary Master Studies (EU–JAMM). The project has an annual meeting, where representatives of member universities can discuss financial issues and the coordination of student exchanges. The EU–JAMM consortium is a joint management organisation. However, its function is mainly a communication channel for information exchange and problem solving. All specific issues concerning each programme are decided at the appropriate coordinator level, and major decisions regarding programme

development and concluding agreements are made by each institution. A large proportion of the management organisation for DDP partnerships is individual and relies on the existing management structure of each university or faculty.

6.2.2 Accountability and Attendant Practices in the Monash Warwick Alliance: Decision-Making Structure and Processes

The Vice-Chancellors of both universities agreed upon the idea to develop the Monash Warwick Alliance. They were long-term acquaintances and agreed to build a formal alliance after a series of meetings with senior staff from both universities. The Monash Warwick Alliance is a top-down joint project and senior management teams from both universities are deeply involved in the decision making. The alliance has set up Monash Warwick Alliance Governance Structure with senior committees at the top. These consist of senior leaders from both universities including chancellors, chairs of council, vice-chancellors, pro-vice-chancellors, registrars, and other management posts. A respondent commented on the senior management's presentation as follows: *"Once we had a governance structure to which the senior leadership of both universities came together, that gave clear accountability."*

Besides establishing the governance structure, leaders worked to create connectivity between the alliance governance structure and the regular administrative organisations of both universities. Connections were made not only at the senior management level but also in the administrative domain by involving administrative leaders in various areas including communications, marketing, development, finance, and human resources. In the following quote, a respondent argues for the legitimacy of this governance structure: *"we make decisions through this structure, and the decisions are supported by both organisations."*

The most distinguished post in the alliance governance structure is the newly established position of Academic Vice-President and Director of the Monash Warwick Alliance (hereafter referred to as the Academic Vice-President). The Academic Vice-President is jointly appointed by both universities and is assigned to the task of steering the alliance. When the Academic Vice-President was appointed in 2012, the alliance had already been in operation for 1 year. With experience operating the original governance structure in the early stages of the alliance, some necessary modifications became apparent and accordingly the structure was revised to include two clear steering roles—that of the Academic Vice-President and the Project Operations Group under the leadership of the Academic Vice-President. The Project Operations Group was set up across the two universities.

In the revised governance structure, the Alliance Board is the highest decision-making organ, and the Alliance Steering Committee sits under the Alliance Board. The Alliance Board champions the alliance framework, and approves and reviews all alliance activities. The Alliance Board is co-chaired by the Vice-Chancellors of both universities, and consists of the Academic Vice-President, council chairs, registrars, and other academic leaders from both universities.

The Alliance Steering Committee is chaired by the Academic Vice-President and is responsible for the implementation of all activities. Committee members come from both universities including the Pro-Vice-Chancellors for research, Pro-Vice-Chancellors for education, administrative leads for communications/marketing/development, Project Operations Group leaders, and student representatives.

Compared with a corporate governance structure, the *“Alliance Board is like a company board that is given full authority of running initiatives”*. The Academic Vice-President plays a central role *“like a CEO of a company with responsibilities of all activities and Alliance Steering Committee gives advice to Academic Vice-President in fulfilling its function.”* Another respondent described the validity of the governance structure as follows:

“The first governance structure loosely defined the remits of each decision-making body, but in the revised structure we are absolutely clear who could make a decision on what, and what delegated authority they have.”

The original and revised governance structures are provided in Appendix 1. The structures are further discussed in Chapter 6.3.2.

6.2.3 Transparency and Attendant Practices in DDP Partnerships

Regarding DDP partnerships, all respondents stated that the most important thing in initiating a partnership is a pre-existing personal connection between key academics. In such cases, trust was already fostered through long-term connections between key academics, and the personal connection could more easily expand to a more formal partnership. One respondent commented on the importance of personal connections in partnership development:

“It is difficult to make an agreement, without knowing institution very well. ... We really have to know each other before doing, I mean personally.”

Once the idea of developing a new programme is agreed upon between partners, they enter a stage of detailed discussions on the curriculum, degree requirements, student exchange quota, and so on, and then find the point where the two different systems can agree to comprise. This development process is regarded as an imperative process to ensure a programme gets underway, as well as to avoid potential discrepancies between partners in later stages. When respondents were asked what the most important requirements in the process of programme development are, they named openness, information availability, and communication efficiency.

“It is important that there is an efficient channel of communication with a partner, through which the information is exchanged swiftly and effectively. We cannot work together without the efficiency of communication.”

By contrast, information sharing with internal faculty members and central university administration seems to be less important, with the exception of reporting to a faculty meeting or a faculty management board. Regarding transparency for the central administration of respondents' own universities, they do not consider this to be a significant issue in terms of the management of the programme. However, some did mention that it would be helpful if they could receive more support from the central administration (e.g., suggestions on degree policy, curriculum requirements, agreement drafting, and other issues).

Only KU Leuven has a formal support system provided by the central administration. The university's central administration monitors and offers advice regarding the international programme development in terms of the application of educational policy, quality assurance issues, internal university rules and regulations, and other legal issues. KU Leuven created a multi-layered mechanism to facilitate information exchange among experts within all faculties in the university. The highest body is the Council for International Affairs and International Policy established by the Vice-Rector for International Policy. The council consists of vice deans of international affairs from all faculties and meets once a month to share information. The second tier is a monthly joint meeting of liaison officers for international affairs from all faculties, where they share information regarding the Erasmus Mundus programmes, which they then submit to the European Committee. The final third level comprises Erasmus coordinators meetings, which are held a few times a year, sharing information on possible problems arising from implementing programmes and likely resolutions.

In addition, a group of experts from the central administrative units has been set up including the International Office, Education Policy Office, Educational Advising Office, and Legal

Office. This group is under the Vice-Rectors for Internationalisation and the Vice-Rector for Research Policy, who work together for the overall internationalisation policy. The expert group has two roles: one is to help academics to start up new degree programmes and the other is to offer advice to the vice-rectors. Respondents from AS-KUL consider the expert group's support helpful in the development of the programme, with one respondent describing the validity of the group as follows:

"We used to have too many different offices involved, and it was quite confusing for professors, who are interested in setting up such programmes. What we decided was to joint all the offices to have all those advisers in one meeting. A professor sends his proposal and questions, and he will get advice from those advisers. ... If they want their proposal to be further evolved, they can come back to ask for more information. I think it would be definitely the way to avoid problems and to make sure professors are fully aware of the different steps to be taken, especially when it comes to educational policy and internal university rules and regulations, to make sure that they meet all the requirements to set up a new study programme."

6.2.4 Transparency and Attendant Practices in the Monash Warwick Alliance

The Monash Warwick Alliance grew from a personal connection, namely a senior management-level connection between both Vice-Chancellors. Therefore, the Monash Warwick Alliance received full support from the top management of both universities, and occupies a large part of the universities' global engagement strategy as a prioritised project. To manage this large project, they built a robust governance structure that involves key senior staff from both universities. One respondent commented on the governance structure as follows: *"we have got equal representation from both universities in all decision making through the different levels of leadership. I think that's been one of the really important success factors."*

In the early stages, they needed to get to know each other and then explore what they want to do and could do together. For this purpose, they set up separate working groups in the main focus areas, namely research, education, and administration. To each group, appropriate staff at the pro-vice-chancellor level participated and worked to establish strategies in each field. Each group had connections to the appropriate parts of the universities. For example, a Pro-Vice-Chancellor for Research from each university participated in the research working group and this ensured a direct connection to the research portfolio of each university. The configuration of these working groups where senior staff (responsible for the focus areas of

both the alliance and their university) came together and engaged in intensive discussions had a positive impact on facilitating a collaborative relationship between both universities. It enhanced information sharing and information symmetry between the two and their stakeholders. A number of respondents commented on this:

“These groups met on a very regular basis, there were a lot of meetings going on, and it took a huge amount of senior leadership time, but it was important for us to understand each other’s institutions, about where our priorities lay and how we made decisions,”

“The working groups were necessary at the early stage to gather all ideas, to ensure that the right stakeholders felt consulted at both universities, and to form strategies.”

Once they had devised strategies, the role of the individual working groups became less important and a need emerged for a stronger steering organ to implement the strategies. They formed the Alliance Steering Committee led by the Academic Vice-President, taking responsibility for implementing the strategies. The working groups were reorganised to task-focused groups (which are rather ad hoc groups) that are typically involved in problem solving.

The Alliance Steering Committee took up the original working groups and extended the membership to administrative leaders including the directors of communications, marketing, and development. This configuration of membership was created according to their communication strategy to extend *“a communication into the next layer down”* and *“involve wider communities of both universities.”*

6.2.5 Learning Capacity and Attendant Practices in DDP Partnerships

All respondents stated that it is essential to set up a feasible action plan outlining objectives and how the parties can work together within a partnership in the development phase. Thus, an action plan is the foundation of a successful partnership. While some problems may arise in the early stage, if the central players have the experience to overcome such problems (and this contributes to a feasible action plan), the partnership should continue to operate well. One respondent stated that, *“some problems arose in the first year in the programme, but once the problems were overcome, it went actually quite fine after that.”*

Most of the respondents mentioned the importance of knowing the other partner and understanding the differences between the universities’ credit and degree systems and relevant

administrative processes. By understanding such differences and finding a way to compromise, a feasible plan can be created. They underlined process of learning about their partner and compromising between the different systems of each university.

“It's definitely challenging to come to recognition of credits and the way how you agree with your partner on the number of credits students receive in certain course. ... There are so many different practices and often the way is very different in Leuven from the way the partners has been handling this. We have to find a solution, also it takes time.”

“We had a very detailed discussion face-to-face with our partner on the curriculum, school calendar, and needs of each side. I think if you reach consensus in the earliest stage, everything may go smoothly after that.”

The learning developed within a university, and not just that between partners, is also important. The multi-layered formal mechanism to facilitate information exchange among experts from all faculties at KU Leuven is a good example of developing institutional learning.

6.2.6 Learning Capacity and Attendant Practices in the Monash Warwick Alliance

The importance of partners learning about each other before taking action is stressed also for comprehensive and organised strategic alliances. Before reaching an agreement about the Monash Warwick Alliance, the parties concerned investigated potential partners to assess project feasibility and growth potential. Interviewees from the two universities cited their reasons for selecting the partner as follows: the two universities have similar aspirations in research, teaching, and learning; they are both engaged in cooperation with the commercial sector and open to international engagement; they complement each other in terms of their strengths; they are similar in terms of idea development and research intensity; they both have stable leadership; and they have a similar academic culture.

In addition, learning in the Monash Warwick Alliance refers to knowing one's partner and also one's own organisation. An important learning capacity for them is the ability to demonstrate the values of both partners and to identify priorities to enhance the strategies of both.

“We've looked at what we can do together that enhances the education strategies of both universities, and we have identified a number of priority projects that we've invested in over the last two years. A lot of those projects are based on building

capacity and capability of doing things jointly. the true benefit of the alliance is seen in outcomes that are achieved through collaboration than trying to do them individually.”

Based on understanding of values and priorities, respondents learned how to work together to execute strategic plans. A senior management respondent suggested this process is important in the development stage because *“it affects whether or not the partnership is embedded in the later stages.”*

There appears to be a significant difference between the management structure of DDP partnerships and the Monash Warwick Alliance in each joint management organisation. For DDP partnerships, they operate under the existing management structure of each faculty but the partnership relies on a management team of just a few academics. Other than the EU–JAMM consortium, there is no formal joint management body responsible for information sharing. By contrast, the two universities in the Monash Warwick Alliance jointly initiate and control various projects. Therefore, a more systematic and stable management structure is required. The management organisation also needs to have the capacity to clearly explain the decision-making process to provide accountability to their stakeholders. The interviewees indicated that their learning capacity must be demonstrated through the development of the alliance management organisation.

The Monash Warwick Alliance revised its original management organisational structure 2 years after the original organisation was formed. When the original structure was formed in the initial stage, it was important for them to see what they could do to create alliance strategies. Therefore, the original management structure was first formed to establish the decision-making process of the alliance, and second to share information regarding the strengths and priorities of both universities in terms of education, research, and administration. They set up two decision-making bodies, namely the Alliance Steering Committee and the Alliance Development Committee, and under these two committees were three working groups for research, education, and administration. Through these committees and working groups, they gained valuable learning opportunities and a better structure of management.

“It did take time in the first instance to make decisions because you had not only to consider the matter in your own institution but also understand the other institution’s perspective and work through how we can make that decision jointly. There were times when research proposals came through that one university strongly supported and really wanted to engage the alliance, while the other university couldn’t generate the

same level of appetite within its academic community. By exploring real scenarios like that, we tested the decision-making effectiveness of our steering committee.”

Operating the original structure for a year, respondents gained some experience of the decision-making process and some research and education projects were implemented. Then they identified the loosely defined remits of each decision-making body. They also found that the need for the Alliance Development Committee and separate working groups was diminishing. Thus, it became apparent that a new governance structure was required, one with a stronger steering organ and clear descriptions of the delegated authority of each component. Based on learning gained from experience, they revised the original governance structure to include the Alliance Board consisting of a senior management team from both universities and the Alliance Steering Committee chaired by the Academic Vice-President, which controls all activities. The Academic Vice-President is like a CEO of a company, responsible for all alliance activities. The working groups were reorganised to ad hoc task-focused groups under the Academic Vice-President and the Alliance Steering Committee, which are called upon when there is a problem or a new initiative to be developed.

6.3 Critical Principles and Practices in the Phase of Consolidation and Catalysing Maturity

6.3.1 Accountability and Attendant Practices in DDP Partnerships

In the DDP partnerships, decisions relating to partnership development were made in the first stage with the engagement of senior-level university administrators and faculty. After launching the programme, programme directors and a few professors were responsible for all decisions, most of which related to the day-to-day operations of the programme at the consolidation stage. Thus, decision making is not a big issue for DDP partnerships once they are launched. According to interview data, it is more important to work out how to sustain the relationship between partners and to retain legitimacy to continue the partnership.

6.3.1.1 Management mechanisms

Respondents reported that the most essential element for sustaining the relationship to continue the programme is the personal connection between the leading faculty member (who initiated the programme) and the small number of members in the working team led by the leading faculty member. They mentioned that problems could be easily solved if they know each other well. Some respondents stressed the importance of maintaining a personal

connection after current leading professors retired or were replaced. By contrast, one respondent raised concerns about basing a partnership only on a personal connection and suggested having official management mechanisms:

“The problem is when the personal connection breaks, when the dean of the faculty, who had been a friend of one professor, is replaced by a new dean. We could get a problem, because we don’t have formal mechanisms in place.”

Each case study, E-KU, L-KU, AE-KUL, and E-Lund, has a different management structure, but it seems simpler for E-KU, L-KU, and E-Lund because of their single-department partnerships. Only AE-KUL is joined by three internal faculties, namely the Faculty of Arts, Faculty of Social Sciences, and Faculty of Economics, and some management is necessary to coordinate those multiple parties. Some respondents perceived the necessity for more formal management mechanisms as more faculties become involved in the partnership. For example, a respondent from E-Lund raised concerns about becoming larger and more complicated, stating, *“If it broadened the cooperation, then suddenly it becomes more complicated from the faculty level to determine the issue of degree.”* A respondent from AE-KUL suggested the necessity of inter-faculty-level management:

“The connections with different faculties expanded and different faculties became involved in the EU–JAMM DDP structure. So in that sense, I think we need some kind of management in the level above the faculty.”

All case studies include members of the parent consortium EU–JAMM and they have annual meetings involving representatives of the member universities. The EU–JAMM annual meeting is helpful for member universities to share information and practices. However, they understand that these meetings do not operate as a management mechanism other than that they are able to obtain suggestions for solving problems from other consortium members. L-KU also has a joint committee for a DDP programme with another university (not KU Leuven), which is responsible for managing the partnership as is written in their partnership agreement. However, in reality, *“what they are doing is just fixing problems and when there is no problem, it does not engage in any activities of monitoring and improvement.”* This reveals that they perceive the need for a comprehensively functioning joint management mechanism.

6.3.1.2 Legitimacy of partnerships

Legitimacy is essential to consolidate and sustain a partnership by creating a sound condition where *“stakeholders and people responsible are comfortable with the situation.”* A lack of

legitimacy may interfere with the soundness of the partnership. How then to reassure stakeholders? The two solutions were identified: (a) guarantee reciprocity regarding the number of exchange students and the field of study for exchange students and (b) secure financial resources for scholarships for exchange students. In terms of reciprocity, the number of exchange students needs to be balanced. In addition, fields of study and their number (i.e., the number of laboratories in a faculty available for exchange students) are important. An example was given by one respondent that a problem could arise when party A accepts students from party B into multiple laboratories and party A would also like to send their students to multiple laboratories at party B, but party B will only accept students into a single laboratory.

“These projects die, when one partner feels there isn’t any sort of reciprocity in the exchange of students, and one partner feels it’s just not worthwhile. ... Stagnation occurs because one partner feels there isn’t any value out of continuing the partnership. And that specifically means either their students don’t want to come to Japan or there aren’t enough Japanese students coming back.”

Financial support is regarded by many respondents as an important example of legitimacy. One respondent stated that, *“Without financial support, we may no longer find any added value for the DDP because it becomes difficult to offer scholarships to our students and also travel to meet counterparts to discuss our partnership.”* Another respondent said, *“If we manage successfully to find new finances, we can avoid stagnation. However, if we do not have new finances, we will have a stagnation phase.”*

6.3.2 Accountability and Attendant Practices in the Monash Warwick Alliance

The alliance has made efforts to create a management structure that is endowed with an effective decision-making process and shows a clear demarcation of responsibilities, understanding the importance of *“building a governance structure of accountability.”* Engaging in a structural reform, they built up the current Monash Warwick Alliance Governance Structure, which they regard as being more effective to manage the alliance of two different universities. The Alliance Board and the Alliance Steering Committee are the two top decision-making organs, and consist of senior management staff from both universities. Connections have been made not only at the senior management level but also in the major administrative domain by involving administrative leaders from both universities.

The Project Operations Group was set up across both universities under the direction of the

Academic Vice-President, responsible for practical matters relating to the operation of the alliance.

6.3.2.1 Clear demarcation of responsibilities

Two crucial points were identified to demonstrate accountability in terms of the consolidation and maturity catalysis of a partnership. The first is the clarification of formal authority and championship. The Alliance Board, which consists of senior administrators from both universities, oversees all alliance activities.

“Alliance Board is very much visible and making sure the progress is being made, the ambition level is right, resources have been used effectively and the resources are appropriate for the task.”

One senior administrator mentioned the importance of the Alliance Board, stating that, *“Alliance Board is central, so that is the formal point of the authority.”*

Second, all respondents from the Monash Warwick Alliance referred to the important roles of the Academic Vice-President and the Project Operations Group. The Academic Vice-President is jointly appointed by the two universities and chairs the Alliance Steering Committee. The Academic Vice-President leads the day-to-day operations of the alliance with the assistance of the Project Operations Group set across both universities. The close link between the daily operations and the Alliance Steering Committee demonstrates clear accountability and contributes to make the alliance operation run smoothly.

“The governance structure concentrated accountability in Academic Vice-President’s role and the Project Operations Group advised by the Alliance Steering Committee. Tasks are generated by Academic Vice-President’s Office, with the Project Operations Group. ... The Alliance Steering Committee is crucial for getting the right and high level of advice, and also neighbouring us to overcome obstructions because there are senior people.”

Another senior administrator mentioned on the importance of formal authority that, *“Sustainability does not work in being delivered just because someone at the top says this is important.”*

6.3.2.2 Connectivity to both universities

Restoring connectivity with the central body of the home university and obtaining appropriate

support from them is imperative for a partnership to be consolidated and sustained. Mechanisms are in place to connect the alliance governance structure of Monash Warwick Alliance to the governance structure of both universities. One such mechanism is that the Alliance Board and the Alliance Steering Committee comprise key senior-level administrators from both universities. Another, which is unique to this alliance, is that the Academic Vice-President is jointly appointed by the two universities and the position is officially recognised by both universities. In addition, the Project Operations Group (led by a single Academic Vice-President) is set up across the two universities and comprises staff (experts in management and international affairs) from both universities.

The Project Operations Group works to bond the administration of the alliance and the home universities to facilitate the effective operation of the alliance. The Monash Warwick Alliance Governance Structure (published on 20 June 2014) shows the roles of the Project Operations Group as a coordinator, navigator, and catalyst, where it works to develop and review the overall alliance project plan to ensure progress; to ensure lines of communication relating to alliance initiatives remain open both within each institution and across institutions; to facilitate the development and maintenance of procedures and processes that support the effective operations that underpin alliance activities; and to identify issues for resolution and facilitate solutions to these.

A senior member of the Project Operations Group described the roles of the Academic Vice-President and the Project Operations Group as follows:

“The Academic Vice-President has been a member of senior management team of both universities. ... The Academic Vice-President has to act on behalf of the both universities, and so has to be constantly aware of the priorities of both universities. I think that plays a really critical role in the formation of the alliance, because that role provides linkage at a senior level.”

“The Project Operations Group tries to ensure that Alliance work happens in a connected way; that connection doesn't happen without facilitation, without support. The Project Operations Group also plays a very important role as a catalyst and as an interpreter [between both universities].”

6.3.2.3 Legitimacy of the alliance

One respondent stated that, *“the alliance would never have done it without two things, one is the support from Vice-Chancellors of both universities and another is a guaranteed budget.”*

As the Monash Warwick Alliance has such an extensive scope and the involvement of wide range of organisations and people, it is natural they should need a guaranteed budget to sustain the alliance and avoid any risk of stagnation. Both universities invest in the alliance, and both have obtained external funds (e.g., from the Australian Center of Excellence). Because both universities are investing huge amounts of money, *“it’s important to demonstrate value against the investment by showing what the Alliance achieved, that is the accountability of the Alliance.”*

Stakeholders also expect clear accountability regarding investments in research and education. It is reasonable for the alliance to invest in certain strategic areas that both universities consider important. On this issue, one respondent stated that, *“concentrating the funding in the successful areas is important to consolidate the alliance research activities, because investing some amount of money into something that is successful can make it super successful.”* By contrast, there needs to be some degree of accountability regarding the amount of research funding assigned to particular areas and why those areas were selected.

6.3.2.4 Limitations of the Alliance Governance Structure

The Academic Vice-President is given full authority over the alliance operation and plays a significant role in linking senior-level administrators in both universities and the alliance. However, some respondents referred to the limitations caused by the complexity as a joint venture affiliated to the two different universities. This can sometimes slow the progress of various initiatives.

“The final decision-making authority is licensed on the Alliance Board, but when I come to the significant resources, the Presidents of the two universities have to then talk individually to their two separate councils to get them to approve the investment. So there is another layer of authority in both boards there.”

The members of the Project Operations Group, who work under the Academic Vice-President, consider political issues within the university as a major difficulty in operating the alliance.

“If you work with senior staff at say the Deputy Vice-Chancellor level, and if these people have been traveling abroad for a couple of months or they are away for quite of a lot in a year, you find that they aren’t around to fight the political battles, because they are not in the room, not at the meetings, and not having coffee with people. ... The Academic Vice-President (who has to travel to either university often) has a very very difficult role in engaging in the political battles that happen at that level. Managing that

is certainly a major challenge.”

Another limitation identified from the interviews relates to the difficulties in coordination between the existing faculties of the universities. Respondents perceive this issue to cause inertia and stagnation.

“A problem that requires someone to be instructed is difficult to solve in an alliance model. I coordinate the projects in teaching and learning area, but I do not have authority to tell the university what they should do. If a dean of a faculty or a Pro-Vice-Chancellor in research doesn't want to support the alliance activity, it is a slower process to try and persuade them that they should do.”

One respondent also referred to the issue of coordination between existing faculties. That respondent had been involved in the Monash Warwick joint project in the period before the alliance started and during the early stages of the alliance.

“It would have been more effective if they had involved the deans of the faculties at Monash, because they are such powerful groupings, earlier in the institutionalising of the Alliance, and more systematically. Possibly it (the Alliance and its activities) would have been more embedded in the university.”

6.3.3 Transparency and Attendant Practices in DDP Partnerships

In all DDP partnerships studied here, the key individuals of both partner universities initiated the programme and their relationship continues to be an important communication channel to sustain the partnership. However, most respondents see the need for a more formal communication system. At present, they have a consortium-type communication system to have an annual meeting. They agreed there were some benefits in information exchange between the consortium members, but limited to suggestions for problem solving.

“The meetings serve basically as a reflection meeting on what we have experienced. For some of the problems and if we have suggestions, we will suggest the partner do it this way, or perhaps to stay away from a certain issue and instead do it in another way.”

Beyond the information exchange for problem solving, they expect a more formal system to sustain broader communication. Because the practical activities of the programme are to be jointly operated by specific partners with mutual consent, any effective management system is

necessary to work smoothly and to maintain the stability of the partnership. One respondent stressed the importance of creating a formal system that maintains a stable communication channel between experts from both partners after key individuals leave the partnership for retirement or other reasons.

“Probably the most important thing is a kind of constant and open communication between the partners. For the long-term survival [of the partnership], there isn’t simply a personal dialogue between two people, who happened to know each other before the project, but a kind of dialogue between people occupying administrative positions within the structure, the relevant experts in each. ... Those people need to be engaged in a constant process of communication about the project. ... That dialogue needs to be at an academic level and administrative level, and focus not just on problem solving but reflect on the actual consolidation.”

6.3.4 Transparency and Attendant Practices in the Monash Warwick Alliance

The alliance makes efforts to provide transparency to their stakeholders because it understands that maintaining transparency is imperative to consolidate its position in both universities. According to the respondents, the governance structure is equipped with a formal communication channel within the managing group of the individual universities and between the managing groups of the two universities. In addition, they exchange information through informal personal communication channels. Through the informal route, the administrative practices of each university are shared among those working for the alliance. The purpose of the alliance and what is happening at the university in relation to the alliance can be disseminated to university constituent members through this information route.

6.3.4.1 Communication strategy within senior management staff and the steering team

It is key to the formal communication strategy that the Alliance Governance Structure involves the senior management team and the administrative leaders of both universities in the Alliance Board and the Steering Committee. These people play a role that connects not only the administration bodies of both universities but also the alliance and both university administration. The overlap of committee members is also regarded by respondents as an advantage in facilitating supportive engagement by both universities. Another route is through the Academic Vice-President, whose post is jointly appointed by both universities with the responsibility to manage all aspects of the alliance. One of the important roles of this post is to facilitate communication with senior management and other key administrators in both universities in formal and informal ways. Formal methods include the governance structure

where the Academic Vice-President chairs the Steering Committee and holds membership to all other committees, ensuring the effective maintenance of regular communication. The informal route is equally significant, especially in communicating with senior staff who are not involved in the governance structure. The Academic Vice-President is stating as follows:

“[The Alliance’s objectives are shared] through the communication strategy: through my involvement in leadership’s portfolios in the Alliance Steering Committee, and though my regular communication with senior staff of both universities.”

Communication between the teams of the Project Operations Group based at both universities is imperative on a more practical level. In the operation of the activities of the alliance, those teams work together to share knowledge, expertise, and resources. For example, they “*develop together materials and content that they can use in their education opportunities.*” The team members engage in the intensive interchange of information about how things are going and methods of operation through both formal and informal meetings.

Because of the interchange of information and working together on joint projects, mutual understanding and trust can be developed between the two teams (based at Monash and Warwick universities) comprising the Project Operations Group. This contributes to enhancing communication effectiveness between the two.

“We are having a series of meetings where we are reflecting back on how things have gone over the last five years, so that we can help inform how things might happen for the next five years.”

“Members of the project operations group have built a level of trust and mutual understanding through working together. They can then use that relationship to share information and negotiate between the two parties.”

6.3.4.2 Communication strategy for stakeholders outside the Alliance Governance Structure

The term university ‘stakeholders’ generally refers to various parties including students, prospective students, alumni, employees, board of trustees, business and industry, and the community at large. However, the interview respondents refer to predominantly faculty members and administrative staff. Therefore, in this study, ‘stakeholders outside the governance structure’ means the faculty and administrative members of Monash and Warwick universities, who are not directly involved in the governance committees.

The interviews revealed that the communication strategy was more unstructured and opportunistic for these stakeholders. The Academic Vice-President and the Project Operations Group work hard to connect the alliance and the stakeholders by informally and personally communicating with key people in various levels at both universities. The Academic Vice-President spoke of his communication plan:

“It is a mistake to think one thing can do it (institutionalising the Alliance as a norm in the university). It requires a well-thought effective communication plan. My post, being a member of senior executives of both universities, I think it's essential for embedding the Alliance in the thinking (of stakeholders). Wherever I turn up to a senior executive while day meetings or regular meetings, I give talks to the faculty groups, and they are reminded of the alliance.”

The Project Operation Group functions to connect the alliance not only with faculty members but also with administrative units and administrators from both universities through informal and frequent communication and information exchange. In regular meetings between the two teams set up in each university, they share the administrative experiences and practices of both universities. In addition to regular meetings, sharing know-how and expertise through less structured interaction is also important for the smooth operation of the alliance. This process can foster trust between both parties. Another important role of the Project Operation Group is to bond the administration of the alliance and the regular administration of both universities. The Project Operations Group's work cuts across all alliance activities, so they need to work across all existing administrative units including the financial team and human resource team to ensure the smooth functioning of the alliance.

“The people [within the Project Operation Group] are working not just within the alliance but they are working more broadly within their institutions. They are sharing the knowledge and understanding throughout the normal fabric of the university, with normal people and normal teams, and integrating alliance work within the normal ways of doing things.”

The Project Operations Group plays an active role as an interpreter between the alliance and those stakeholders outside the alliance governance structure. They explain to stakeholders what the alliance is and what it does, as well as its aims. Consequently, communication with stakeholders is becoming easier as the wide range of stakeholders gain more knowledge about the Alliance's activities. With the efforts of the group, the alliance is becoming embedded in the fabric of both universities. One respondent described the process of institutionalisation as

follows:

“The biggest challenge is persuading people that the alliance is not an add-on, and it's actually a part of university. This is especially difficult in the early days, because everyone asks the question how it's different from normal partnership with any other university, and, at that stage, we didn't have any evidence to back it up the rhetoric. We struggled, but now we can quite clearly point to benefits in terms of research, we can point benefits in terms of education. So the alliance being a test bed for new academic practices, new collaborations, and new ideas, is actually paying off. It's much easier to make the argument now.”

Although it is not easy for large comprehensive institutions like Monash University and the University of Warwick, the general dissemination of alliance information is crucial for consolidating the alliance, as another respondent commented: *“Once you have enough people saying it's a good idea or they're supporting the idea and not undermining idea, that's where you make a big impact.”* They publish regular e-mail updates and news on the alliance and its activities every 1 or 2 weeks across the university to increase community awareness of the alliance. As a tool to ensure the transparency of researcher resources, they operate a free online tool that links researchers (who are registered with the system) from both universities. Through this online tool researchers can contact other researchers within their university and beyond (Monash 2014).

6.3.4.3 Viewpoint of stakeholders outside the Alliance Governance Structure

The alliance's communication strategy has thus far been described from the viewpoint of the people inside the governance structure. They have made significant efforts to disseminate information to the university community, communicate with as many stakeholders as possible, and to persuade them to work together. However, through the interviews, it was found that regular academics from both universities might have a slightly different view on the alliance's communication strategy. They identified a problem of unclear communication lines from regular academics to the alliance in two ways: one between academics from both universities and between academics and the alliance governance.

Communication lines between faculty members from both universities are important in terms of creating linkage for research and education collaboration. The online tool to link researchers mentioned above is one such communication line, but some faculty members do not consider it effective enough to enhance communication at the faculty level. They believe some improvements are necessary in the governance structure, stating that one of the factors

causing unclear communication lines between faculty members is that under the present governance structure, faculties from both universities are not appropriately involved.

“One of the issues we had, as an academic working with the alliance structures, was that it was never very clear what the communication line was. I think a part of the problem is because the two universities have very different structures. ... It's quite difficult to see where the institutional links are. ... The academics in a sense are surrounding the structure, and links at the level of teaching and research sit largely outside of the governance structure.”

According to one respondent, problems with communication lines between faculty members and the alliance governance include slow transmission of information across faculty members, and ambiguity regarding the alliance governance structure and contact points for enquiries. For faculty members, all alliance activities occur in the background within the governance structure, and faculty members are not really aware of what is happening and its effects at the department level for some time after a project is tabled. Thus, there is a time lag before the information reaches regular academics.

“Even though the information reaches the faculty, it is not clear enough whom they should go to for questions and more information on the projects. Therefore it sometimes takes time to get an answer, and also they sometimes get slightly mixed messages from the two administrative structures of Monash and Warwick.”

Regarding the appropriate contact person, it seems clear that regular academics can contact the Academic Vice-President for all matters concerning the alliance, as this post is responsible for all alliance activities. However, in reality, further efforts may be necessary to ensure that the faculty members are thoroughly informed of the governance structure.

“A lot of people would not think to go to the Academic Vice-President, because they would be thinking that I am going to my Dean, or I'm going to go to the project officer. This new governance structure is a better governance structure but still not clear to the average academic how it works.”

From the faculty members' points of view, one possible solution to this communication problem is to systematically involve faculties in the alliance governance structure.

“It (Solution of this problem) definitely would be to involve the faculties more

systematically. I noted the deans get briefed, but by the time the deans get a briefing, the actual operational stuff has already gone through the various academic committees. Things have gone for approval at academic committees, and the deans would be informed of this.”

Furthermore, the Academic Vice-President identified some difficulties in coordinating alliance activities with the existing faculties, as all decisions made in the faculties are beyond the authority of the Academic Vice-President. This implies that especially for a large university with many faculties and departments, it is important to properly create and manage linkages with all faculties.

6.3.5 Learning Capacity and Attendant Practices in DDP Partnerships

Learning in the DDP partnerships is based on peoples’ experiences during their careers in managing international programmes as well as through the day-to-day operation of the programme. Experiences are shared among the select few who directly manage the partnerships. While implementing a programme, they sometimes face problems, and they discuss these problems and solutions with colleagues in the team. This is learning within a team. In addition, they can learn about each other from their partner and peer members of the EU–JAMM consortium. For example, they have an annual meeting as well as informal communication through e-mail for problem solving. They also ask other members for suggestions and offer advice based on their own experiences.

“During the regional meeting, which takes place at least once a year, every issue that has been discussed during the year will be brought up again, and we will discuss it again. So whatever we discuss at the regional meeting is also basically a documentation of what we have been doing in the project. We make references to past experiences.”

Experiences can also be accumulated by taking and analysing the feedback of students who participated in the programmes. The AS-KUL team regularly conducts a survey to determine students’ experiences and problems and accumulate data. Feedback data are then shared among consortium members for reference, especially when there are problems to be discussed among members. However, collecting just the feedback of students may not be enough, especially if the objective is to stabilise and consolidate the programme. One respondent stressed the necessity to collect the perspectives of not only students but also all stakeholders involved in the project.

“You need to listen to lots of different perspectives on what’s going on. So collect feedback from the student perspective and the perspectives of all of the different stakeholders in the project, and somehow collect in a more systematic way to allow you to grow and consolidate.”

Educational programmes such as DDPs usually collect different stakeholders’ perspectives through quality reviews. For the sample partnerships, each university has a different quality review system, and AE-KUL mentioned two systems: an internal review within the university and an external review. (Here, the internal review system means a formal assessment of programmes by relevant organs within the university, while the external review system is a formal assessment by relevant organs outside of the university.)

In the internal review process for AS-KUL, their programme is evaluated by other teams (within the university) taking part in similar projects. The other universities, E-Lund, E-KU, and L-KU, have no specific formal internal review systems in place. A respondent from E-Lund mentioned that the fact that the programme fulfils the academic requirements by the faculty is an evaluation process itself. E-KU and L-KU are in the same situation. Regarding the external review system, the EU-JAMM consortium functions similarly to a peer review. Although the annual meeting does not have a true assessment function, *“the meeting is serving basically as a reflection meeting on what they have experienced,”* and every university has to show data relating to their programme’s operation including the number of exchange students and how the funds were spent.

Overall, it seems that the sample universities have not fully developed a quality review system. A respondent from L-KU mentioned that *“the quality assurance is entirely trust based and they have no choice but to trust the partner to recommend appropriate students and implement the programme well from the other side.”* Thus, regarding the lack of formal quality review process, the respondent identified the need to create a formal mechanism. Such mechanisms would also be helpful to retain institutional knowledge and experience.

If quality assurance is personal and trust-based, knowledge and experiences tend to be accumulated in the personal memories of those who have been working directly for the project. This means that a communication strategy is required to properly transfer the knowledge and experiences of the current post holder to his/her successor. In addition to the inheritance of knowledge and experience, it is crucial to sustain the partnership that the successor can maintain a favourable relationship with the counterpart successor. Learning based on personal knowledge and experiences is effective but at the same time is underlined by serious fragility,

as the knowledge and experience accumulated in a person can be lost when that person leaves the project. The transfer of knowledge and experiences to a successor should be ensured to the right person and at the right time.

“I think it is one of the huge problems with how things work in all of this that there is no institutional memory at all. It’s the memory of the individual. What happens is if the individual happens to retire or move to another university, all memories just disappear.”

6.3.6 Learning Capacity and Attendant Practices in the Monash Warwick Alliance

Learning in the Monash Warwick Alliance emerges from personal experiences in the same way as in the DDP partnerships. However, the learning process in the Monash Warwick Alliance is so extensive and organised that it can advance to institutional learning. In the interviews, respondents mentioned some key abilities gained through learning, and these are considered imperative for the management of the alliance to smoothly implement relevant activities.

6.3.6.1 Key abilities gained through learning in the Monash Warwick Alliance

Learning in the alliance starts with the awareness of the differences between the two universities. On the premise that the two universities are different in many ways as a matter of course, those involved in the alliance from both universities work to break through every difficulty caused by such differences and explore new ways of doing things together. This process could enhance both individual learning and institutional learning.

“They might have to think a little bit differently, and sometimes consider new ways of doing things. We found that for the most part, administrative colleagues are open to considering other ways of doing things. But there are always a few people who are resistant to change or doing things differently, because that’s the way they’ve always done it. But I think that’s where the most learning comes out of something like this. That’s where everybody learns from each other and in a sense that’s the most valuable part of something like this.”

Although what abilities they gained from learning were not explicitly referred to by the respondents, some were derived from respondents’ stories. They are identified as: ‘pragmatism’, ‘flexibility’, and ‘adaptability’. They commonly recognised those abilities as requisites for both successfully developing and implementing joint activities and ensuring that the alliance operations work well. The following comment describes how one respondent

views working with a partner by integrating various differences:

“What we tend to find in practices is that you just create accommodation between the two universities, or other say, I think the key word for me is 'pragmatism', so we cannot expect Monash to do things exactly as Warwick dose, and vice versa. And at the same time, we don't need to overhaul everything both universities do, because something may be working perfectly well for the majority of what they do, but when you bring two things together, we have to be pragmatic.”

This flexible, adaptable, and pragmatic way of working also applies to internal offices and units in the university. They understand the value of wisdom to avoid unnecessary conflict and achieve a soft landing for a complicated project. When they identify any potential source of stagnation, they are open to changing the initial plan as well as revisions. They deal with difficulties and carry on with a project in a flexible, adaptable, and pragmatic manner.

“Education early on was very much focused on delivering a highly visible, flagship joint undergraduate degree. While we created it on paper, we realised that the market wasn't ready for it in the current regulatory environment and so it was shelved. We revised and refreshed the education strategy, refocusing the alliance investment to help start up and drive more flexible educational activities.”

Another important ability is the ‘versatility’ to expand the know-how of alliance activities to other areas. For example, if they have previously experienced the reform of traditional ways or the creation of new methods within a partnership, it becomes much easier for them to do the same in another partnership. Thus, learning in one partnership can benefit other partnerships. Those involved in the alliance understand that the benefits for their university are synergistically increased by spreading the benefits derived from the Monash Warwick Alliance to other partnerships with other universities or other areas of the university.

“Whenever I work on the alliance, I am always thinking how do we apply this to other university partnerships, how do we spread the benefits of the alliance across other areas. ... All of these kinds of things enhance the value of the collaboration.”

“The existence of experimental space within the Alliance has enabled us to push through reforms at both universities - structural reforms. ... Once you have a new structure which allows for joint activity within the Alliance, it can be used to support other collaborations too. So actually it has sort of a beneficial effect for other

relationships.”

6.3.6.2 Learning through performance review

The alliance has both formal and informal ways to ensure learning occurs. Formally, they have an official reporting and review process. Official reports are assessed by the relevant committees and recorded for future access when they need to review past performances and outcomes. An informal way is the invisible acquisition of knowledge and skills through the experience of working with people from different institutions. This process happens more frequently and thought to be more important for both individual and institutional learning. This issue is elaborated in the next section (6.3.6.3).

The senior management team places great importance on the formal review process. Their review process is detailed. For example, they analyse every investment in all areas, the impact of initiatives, and to what extent the alliance could deliver clear messages to all stakeholders (i.e., internal *and* external). By reviewing what they have achieved and then comparing it with their original aims, they can select the initiatives that are likely to succeed in the future.

“The initiation (of the Alliance) was about three years ago, and the growth has been in the last three years. We are now reviewing progress in deciding on continuation. It is highly likely the alliance would certainly learn from the first five years for the second five years, and aim to strengthen the areas that are more successful.”

One member of the senior management team emphasised that establishing solid initial plans is essential and these can be guideposts for future work and reflection. Thus, they benchmarked the initial plans and the benchmarked data are consulted to develop future strategies.

“If you don't have a solid point of reference to keep you come back to, you cannot measure whether or not you actually did what you intended to do. You can always have a compass. That's your solid reference that should tell you whether or not going same directions or getting to be careful. That map helps you to stay facing the right direction.”

All deliberations and decisions are recorded and stored in documentation and can be accessed. They developed *“a template for reporting alliance performance and the performance reports are routinely updated on an annual basis, though sometimes updated in between as needed.”* The reports *“summarise in a succinct way the performance against alliance objectives and targets agreed by both universities.”* When they need to informally review the operations of

any specific matter that is not covered by formal performance reports, they ask the person in charge to produce a report.

6.3.6.3 Learning through working together

Learning through performance reviews is mainly spread among those involved in the governance structure. Wider learning spillover is being introduced across both universities through collaborative work. For example, administrators share the practices of both universities including graduation ceremonies, marketing, and students' entrepreneurial activities. After plenty of conversation, the University of Monash changed the way of organising their graduation ceremony, adopting some good practices from the University of Warwick.

The learning effect increases when people work together to address the differences between the two institutions to find solutions and create new initiatives. Working together is *“where the most learning arises and the process of developing a mutually-beneficial solution produces trust and understanding of others' situation.”* People engaged in collaborative working learn to think differently and be open to considering other ways of doing things. One respondent mentioned:

“One of the purposes of the alliance was to find different ways for universities to work together... trying to find how we could do things in a different way, and a lot of institutional learning that has come out from that. We've been creating new joint academic posts where researchers are employed by both universities. How we recruit to those posts, how we then employ and then manage those people - there were a lot of things that we've learned about. I think there is a massive amount of learning and benefit to both universities through the work of the alliance.”

Overall, administrative collaboration is enhanced by engaging in various alliance activities. Collaboration produces institutional learning to strengthen the administrative infrastructure and can bring substantial benefits to a university in the form of strong administrative support for the universities' academic collaborations.

6.3.6.4 Transfer of learning

The Monash Warwick Alliance has a system recording all deliberations and decisions; these records are then accessible for reference and review. Documenting and storing institutional learning for future reference is helpful, especially when a person who possesses significant knowledge and expertise leaves. The alliance has experienced personnel losses, but in such

events, the successors can visit the written records to learn what had previously occurred. However, revisiting documents alone is not enough for reliable learning transfer because, as a respondent said, *“often a lot of institutional memories and learning are held in non-document form in people’s heads.”* Documentation needs to be complemented by conversation, where those with experience can convey to newcomers what and how things were done. Thus, the sustainment of institutional learning in the community relies on the long-term and reliable transferring of learning from person to person.

Transfer of learning from person to person is a main function of the observed DDP partnerships. However, learning transfer in the alliance occurs among a much wider range of people. It spreads to not only those directly working for the alliance but to the peripheries in both universities, as there are many more people engaged in alliance activities. This occurs through normal working channels, where alliance staff work together with colleagues at both universities.

“You have got somebody who is involved in a certain Alliance activity, but they are also very much involved as a part of the university, so tacit knowledge that might be learned through the alliance is being shared by that person through normal ways of working and normal ways of making decisions.”

Learning is not just disseminated in one direction, as the alliance also learns from the practices of each university. For example, those chosen for the alliance’s joint appointment project were people from both universities with experience in human resources. Those people worked together in a project that represented a completely new experience for them, gathering knowledge and expertise in human resource management from both universities. This process generated considerable learning from the work of each university. Furthermore, in the process of implementing the new project, people gained new learning by working with people from a different university with different administrative norms and practices. The new learning generated in alliance work was directed back to both universities through interactions among people. This is a learning circle, and such circles can be created by involving people from both universities with experience in particular areas.

“It’s not just working together. It’s the same people involved. So the person who’s responsible for teaching and learning for Warwick is the person who’s responsible for teaching and learning in the Alliance. ... If we delegated this to somebody else then you would have to work harder to transfer that knowledge. When it’s the same person, automatically [there is] linking and embedding.”

An issue still remains regarding how to manage the loss of people possessing full knowledge and expertise while also sustaining institutional and personal learning. Revisiting written records and interactions with new people is one way to manage such losses. Additionally, respondents trusted personnel management to sustain and share common learning among multiple people and the sequence of people involved in a current team and a succeeding team.

“The most important thing is, you spread the reach of who’s involved in these sorts of things. ... You might have five people at the beginning, but over the life of this thing, you expect another five and another five. It’s unlikely all of those people disappear at the same time, so you will have built in some sustainability. As long as you take it from being something which is much more entrusted, then you are more likely to go to guarantee some degree of sustainability.”

6.4 Critical Principles and Practices in the Phase of Maintaining a Positive Cycle between Growth and Consolidation

6.4.1 Accountability and Attendant Practices in DDP Partnerships

While the trajectory between growth and consolidation for the DDP partnerships is not necessarily cyclical, it seems to stay for some time in the consolidation stage. The issue of sustaining a programme was discussed in Section 5.3.1 on the consolidation and catalysing maturity phase. Most respondents in DDP partnerships believe that the continuity of the programme is endorsed by legitimacy, and legitimacy is retained by reciprocity in student exchange numbers and financial resources. Fiscal legitimacy, namely funding for scholarships for students and travel for staff to attend joint meetings or to meet colleagues from a partner university, were frequently mentioned.

“If there is a scholarship available, it is a big help to keep things running. But if there is no scholarship, then it requires more effort from people who are interested to be involved, otherwise there is a risk of stagnation.”

Because these are educational programmes, in which student participation is essential, it is important that programmes exhibit clear value to students. If students find no value in the programme, they will not participate. If there are no students to participate in the programme, the legitimacy of the programme will be lost. Even though one partner wishes to continue the partnership, if the counterpart university finds no value, then it is very difficult to continue

because the programme is based on a student exchange scheme. Legitimacy of this nature is also easily lost when financial support ends. One respondent said, *“It’s very hard to see how this sort of scheme is going to survive when the financial support disappears.”*

All respondents working within the DDP partnerships considered their partnerships to be somewhere between the growth and consolidation stages. Initiation and development were completed and they are right in the middle of implementation. Thus, continuation is a significant concern, and they consider that the continuation of the programme is influenced by financial conditions. Something may have to be done before the project stagnates or terminates because of the depletion of financial resource. In this phase, there may be an increase in the importance of an authorised joint committee or board, which makes critical decisions regarding possible measures to continue the project.

“The actual process of growth and consolidation is really going to depend on a steering committee or joint committee. This committee actually talks seriously about the idea of growth and consolidation. That would guarantee the long-term success of the project. ... What we should be doing, during that period, when we have scholarships, is really focusing on growth and consolidation, but we don’t do that. We become complacent, because we have scholarships.”

In reality, these DDP partnerships do not enjoy the benefits of strong joint committees. The EU–JAMM annual meeting, which is the only joint board, is simply a platform for information exchange; however, an additional role may be introduced to discuss the future of the project when the EU fund is close to expiry. In one sense, the weak joint committee structure attributes to the nature of a DDP partnership, in that it is a basic and simple partnership based on the exchange of two to three students per year and it may not be necessary for a joint management mechanism. However, for the long-term sustainment of the DDP partnership and further growth, they may need to place a greater emphasis on the need for the partnership management to make the right decisions, thus enabling its survival after the initiation and development stages.

6.4.2 Accountability and Attendant Practices in the Monash Warwick Alliance

By contrast with the DDP partnerships, the Monash Warwick Alliance has a joint Alliance Board and an Alliance Steering Committee. The board and committee consist of senior management staff from both universities and they are responsible for all important decisions. Therefore, those decisions carry considerable weight in its further growth and the

consolidation of the alliance. One respondent referred to the crucial responsibilities of leaders as follows: *“Anything is subject to a risk of stagnation and decay, but the art of leadership is to identify before that becomes serious, that then identify the need for changes.”*

Respondents emphasised the importance of a review process as an appropriate mechanism to identify stagnation and decay and the need for change. The review process involves the regular review achievements against objectives and key performance indicators, and the allocation of resources. Respondents implemented a mid-term review on progress regarding activity objectives, and *“decisions were made about how to best focus resources and time in the future.”* In addition, micro level reviews are constantly carried out by the Project Operations Group to assess their management mechanisms, especially how effectively they communicate between related parties. Based on the reviews, the Alliance Board makes decisions regarding possible changes, and even to step back or abandon. *“Specification and determination of need are really important”* at this stage to show legitimacy to stakeholders.

Another issue regarding maintaining a positive cycle is decisions by the authority regarding changes.. In research, for example, one of the most critical decisions concerns how much funding is allocated to specific research projects. According to one respondent, it is critical for the alliance to be selective when deciding which project to fund. Specifically, they can invest in a project that is already successful and highly likely to be more successful, and they can identify those with high potential.

“The Alliance gave the opportunity to something we couldn't fund any other way, because it was a little bit more speculative than people would fund in other time. [In general] a university is spending much time on the failure, because people say the successful can take care of itself. ... However, I think the awards [of investing the successful stuff] are much greater.”

It is obvious that a guaranteed budget is vital for the alliance's continuation and further growth and consolidation. One respondent mentioned that, *“the growth on ambition is within the constraints of the resources that have been authorised.”* At present, the senior management of both partners support alliance activities as a core strategic project of both universities, and therefore an appropriate budget is guaranteed. They are in a stable condition financially and politically. However, although stable, core people retain a sense of crisis and are considering ways to bring external funding into the alliance and, moreover, make the alliance financially independent, expecting possible future stagnation because of a shortage of financial support.

“The growth on ambition is within the constraints of the resources that have been authorised. There is clearly a very fast pace of growth, and we need to commit more resources. ... Within the funding resourcing envelope, we can grow as much as we like. But we think we have a good chance of being sustainable on the own alliance, so no longer require central financial support.”

6.4.3 Transparency and Attendant Practices in DDP Partnerships

Personal communication between key individuals is the major way of maintaining transparency for the sample DDP partnerships in the growth and consolidation stages. The necessity for a more formal communication system was discussed in a previous section (Chapter 6.3.1). Again in this phase, respondents mentioned that the same formal system that provides effective communication when key individuals leave the partnership also is needed here. More importantly in this phase, as reported by some respondents, a formal communication system between experts at both academic and administrative levels needs to be created to focus on actual consolidation and growth and to avoid stagnation.

The DDP partnerships, as members of the EU–JAMM under the framework of Erasmus Mundus, have scholarship funds while they implement the EU–JAMM project. However, once the project ends, the entire support structure can disappear. Financial resources for scholarships is the most crucial issue to maintain the sustainability of the partnerships and to avoid stagnation. The partners need to consider measures to continue the project, and must create wider linkage within their own universities, especially at the administration level. Such linkages can include the senior management team, central administration of the university, and faculty-wide administration. It is important to create a support system by which they are able to ask for support when difficulties and problems emerge, especially those that may threaten the growth and consolidation of the partnership. Aware of this issue, one respondent referred to the lack of linkage between academics and administrators, considered a fundamental problem of their internal structure.

“Information needs to be shared between faculty members and administrators in order to sustain the stability of the programme. There is almost no information sharing, and we, administrators, do not know what the faculty members are doing. If administrators at both senior and lower levels are involved as members of the faculty committee or the working group, we could have more smooth and effective collaboration and things could go more smoothly. However, I haven’t heard anything from faculty members about working together so far.”

6.4.4 Transparency and Attendant Practices in the Monash Warwick Alliance

Regarding the comprehensive partnership of the Monash Warwick Alliance, the network of people and units is also comprehensive and there is no single way of maintaining transparency to the stakeholders. Therefore, the alliance uses multiple ways, both formal and informal, to exchange and transfer information and knowledge. The Alliance Governance Structure consists of the senior management of both universities to connect between the alliance and both universities' administration. Senior management also facilitates communication with key people in both universities. In addition, the Academic Vice-President and his Project Operations Group work hard to maintain communication not only with stakeholders within the alliance but also with stakeholders outside the alliance governance structure. This communication strategy is indispensable to promote alliance activities in the consolidation and catalysing maturity phase, and it is continually vital to maintain a cycle of growth and consolidation.

The decisions of the authority are crucial to maintain a positive cycle, as previously mentioned regarding accountability (Chapter 6.4.1). For instance, in terms research funds, they have a clear and robust policy in the selection of the projects they will invest in. However, it seems that their decisions are not always accepted as rational decisions by the regular academics at both universities. To gain a better understanding of regular academics, they may need to be more open in the selection policy and maintain patient communication. One respondent provided an example of the ambiguity perceived by regular academics.

“It was not entirely clear to me and my faculty, in terms of how the resources were allocated, for example, and how support has been shown for the various projects. So this is the way I come back to the communication problem, the clarity around resources being allocated, which projects were considered to be priority projects, for example things like that.”

6.4.5 Learning Capacity and Attendant Practices in DDP Partnerships

Respondents considered the DDP partnerships somewhere between the growth and consolidation stages, and placed the greatest importance on maintaining the status quo. However, they believe that there is a large possibility that the partnerships will fall into stagnation, or termination in a worst case scenario, when fiscal legitimacy is lost.

As the DDPs currently fall somewhere between growth and consolidation, and they have not

reached the maintaining a positive cycle between growth and consolidation phase, it is too early to discuss what they have done and what they are doing. Therefore, this section on learning capacity will explore the respondents' thoughts regarding measures to maintain the cycle of growth and consolidation. The respondents' perceptions are derived from what they have learned from past experiences.

6.4.5.1 Relevant people's views on critical stages for maintaining a positive cycle between growth and consolidation

In answering questions about which stage is most important for the success of a partnership, many respondents pointed to the development and initiation stages. One respondent stated that, *"development or creation of an idea is critical if you want the programme to succeed long term."* Another respondent, sharing the same opinion that the development and initiation stages were the most critical, stressed that there is another stage between the two: the consolidation of the idea of the project to clearly show what and how to implement the idea and to sustain the project in and after the growth stage.

"Between development and initiation, there can be consolidation of development. [That is] negotiating the agreement, concluding the agreement, and getting the agreement through the internal mechanisms. Development, to me, implies the development of the idea of the project. Initiation means starting projects."

A written agreement represents one of the mechanisms to consolidate development. However, only the language of the agreement is not able to facilitate the growth and consolidation of the project. The more important thing, in the opinion of one respondent from a Japanese partner, is that relevant people continue to think and discuss (from the development through to the growth stage) what they need to do to survive *"beyond termination of the relationship of particular individuals who set up and change the initial specific needs of the projects."* The most critical change of the initial needs for those DDP partnerships is the termination of the EU-JAMM project, under which they can secure the funding to implement the project, especially scholarships to students. However, the reality for them is that *"not enough emphasis is put on growth and consolidation, and the projects look fragile."*

6.4.5.2 Relevant people's views on what they can do to maintain a positive cycle between growth and consolidation

Because the principal objective for these DDP partnerships is maintaining the status quo of the DDP programme, the trajectory from the growth to the consolidation stage is imagined to be more linear and remains in the consolidation stage. Staying in the consolidation stage is most

important for some, as shown in that the following comment: *“what is most critical is how long we can sustain the consolidation stage and how far we work with a sense of urgency.”*

However, other respondents have different views, with one respondent stating that, *“there can be three paths after consolidation stage, namely stagnation, continuation, and creation.”*

“If we do nothing to continue the programme, it will fall into stagnation. If we keep discussing with the partner and ask for external support to continue the programme, the programme may be able to continue. The third path is to continue the programme in a completely new form, different from a double degree programme. For example, it is possible to create an advanced master programme and attract students as the original programme did. I am personally interested in creating a new programme.”

The respondent also mentioned that it is more advantageous to develop a new programme, while continuing the present DDP programme at the same time. This indicates that those involved in DDPs are proactive in creating more advanced programmes by utilising what they have learned through the present programme. Both continuation and creation can be achieved based on learning from past experience. Furthermore, more proactive action in creating a new programme is possible to significantly increase institutional and individual learning.

6.4.6 Learning Capacity and Attendant Practices in the Monash Warwick Alliance

Respondents from the Monash Warwick Alliance consider the alliance to be in the consolidation stage or between the growth and consolidation stages. Some respondents—who think there remains considerable ambition for growth—view the alliance in the growth stage, and not yet reaching consolidation. In other words, the alliance is experiencing growth and there is still much room for consolidation.

As in the previous section on DDP partnerships, the relevant people consider that the Monash Warwick Alliance has not yet reached the maintaining a positive cycle between growth and consolidation phase. Therefore, it is too early to identify what they are actually doing to maintain the positive cycle. This section on the learning capacity of the Monash Warwick Alliance also explores respondents’ perceptions on the positive cycle between growth and consolidation, which are derived from what they have learned.

6.4.6.1 Relevant people’s views on the critical stages for maintaining a positive cycle between growth and consolidation

Respondents view the critical stages to be the early stages of a life cycle, development to

initiation, and the consolidation stage. In their common understanding, the early stages are of critical importance for the success of the alliance, as various important decisions that can affect the success or failure of the alliance must be made in these stages. They have had close discussions with the other partner to determine the values and needs of the parties, and thereby decide what they will do in the alliance. They constructed mechanisms to ensure that their stakeholders are engaged in the alliance management and practical activities. To ensure stakeholder engagement, from the very beginning it was important to identify which people were to be involved, and therefore it is crucial for the structure to explicitly state the functions and remit of each decision-making body. In this way, all relevant people understand right from the beginning what is going to happen. During these early stages, they need to learn much about their own organisation and the partner organisation. This process is critical to determine whether they can embed the alliance into each university.

One respondent stated, *“Consolidation is very crucial, if it's going to remain, be institutionalised, and be sustainable.”* It can be said that development/initiation and consolidation are the key stages for success. However, they do not insist on continuing everything as it was originally initiated. They argue that it is necessary to select what they need to do and consolidate what they decided to do for sustainable growth and consolidation. Such management competence derives from the learning gained in the process of working together.

“The key for me is around how you learn to work together. ... Every project would have initiation stage and would be extended into the core of what universities do. You need to manage that carefully and only grow to the extent that needs to grow. If you can keep a virtue of the cycle between those things and keep relationship close, you can avoid stagnation. ... A big thing is about managing that, because if you overgrow it, it would not be sustainable.”

6.4.6.2 Relevant people's views on what they can do to maintain a positive cycle between growth and consolidation

As mentioned above, the respondents' consider that the dynamics of a positive cycle start in the development/initiation stage, and a cycle between development/initiation and consolidation is circular. However, a positive cycle does not repeat in exactly the same way. Initiatives transitioning through growth to reach consolidation in the first cycle can enter another cycle of growth in a slightly different way.

“You might circle back in that kind of area (development/initiation), because you might

consolidate what you are doing and decide to grow in a slightly different way. I would argue that there is not a single linear route.”

One respondent described the process as renewal and adaptation. Circumstances around initiatives can change and they need to adapt to the changes and make necessary reforms.

“Any entity wanted to grow, it then needs to adapt these processes (development, initiation, and growth) and need to consolidate. But then circumstances would be changed and it needs to adapt. Adapt means, it might get older, so an initiative of an entity might die or it might realise it needs to change and goes through a process of newer reflection on changes.”

Some respondents considered more dynamic and innovative changes. Interestingly, senior management team members of the Monash Warwick Alliance were aware of dynamic and innovative changes. This offers a glimpse into the innovative attitude of the Monash and Warwick universities. One senior person argued that organisations need to constantly innovate with a globally oriented mindset, and described his image of a positive cycle as:

“Global innovation requires a new way of cycling through these three (initiation, growth, and consolidation): constantly initiate and consolidate the new things. ... If you innovate, you can constantly cycle between these three and you can avoid stagnation and decay/termination.”

Another senior person stated that a cycle is not singular or similar, but there is an alternative cycle with which to enter into a new dimension after experiencing drastic change. The new cycle in the new dimension is separate from the original cycle, and starts from the development stage of the initiative’s new life cycle, and moves through to the consolidation stage.

“Rather than going to stagnation, decay and termination, you have a change of adaptation and reaching another level. That is an embedding in the culture of both universities, and growth and entering into a new phase, which could be the third partner phase. Entering the new phase is change. ... The cycle would repeat, but it would go through a cycle that could be to another higher level, which then has elements of new development, initiation, growth, and consolidation. So it's like a staircase. There are sort of certain step changes, where you need the different leadership or different management, because you are facing different challenges.”

Whether a slight change is made or a new dimension entered, it is important to review past performances and to identify what parts were successful, what needs to be improved, and what can be changed, in the development and initiation stages of the new cycle. This review is particularly important when a cycle is started within a new dimension under a new initiative.

“If you decided to do something that is different, you would need to go back and think it through from that perspective, with a very focused look.”

In analysing the respondents’ comments, two qualities that are necessary for maintaining a positive cycle are identified: adaptability and innovativeness. Adaptability and innovativeness are necessary for organisations to adjust their activities to changes in circumstances and to modify them as suitable for a new purpose. They are also necessary to go back to the development/initiation phase and attempt to develop something different and new. The process of innovation can occur by learning from past experiences in that they identify what has worked well and what has not, then decisions can be made regarding which initiative to focus on and what new initiative needs to be developed. The ability to adapt to changes can revitalise an organisation and create new learning. Learning enhances the creativity and innovation of organisations. Innovativeness is a source of initiating new activities and innovative organisations are able to *“provide a space for exploring new things and generating ideas,”* as one respondent said.

6.5 Other Principles and Attendant Practices

Thus far, the three key principles, namely accountability, transparency, and learning capacity, and attendant practices have been identified in the observed DDP partnerships and the Monash Warwick Alliance. In addition, this study identified another principle recognised by respondents as necessary to facilitate a partnership. That principle is ‘coordination and facilitation’.

6.5.1 Coordination and Facilitation, and Attendant Practices in DDP Partnerships

For all institutions within the DDP partnerships, the academics in charge of the partnership activities deal with all negotiations with the relevant people within each university and with each partner. They also deal with most of the day-to-day operations of the programme, except for student enrolment, course registration, scholarship application, and other student affairs, which are the responsibility of the international office or student office of each university. As

there is considerable administrative work in running a programme, without the support of administrative coordination and facilitation, these tasks pose a considerable burden. Multiple respondents argued the necessity of administrators connecting with counterpart administrators as they are responsible for the day-to-day operation of the programme.

“What we discover is, the channel through the administrators responsible for the programme is much more effective. They clarify what the problem is, and then take it to the professors, who are on the committee. Then the professors directly deal with each other to fix it.”

6.5.2 Coordination and Facilitation, and Attendant Practices in the Monash Warwick Alliance

A principle of coordination and facilitation is more important in the Monash Warwick Alliance than in the DDP partnerships, as it enhances collaboration among the many stakeholders. A principle of coordination and facilitation is necessary, not only between partners but also within each university. As Schreiner et al. (2009, p.1401) state, organisations with strong coordination ability are able to conceive of coordination mechanisms such as a cross-organisation management team that will quickly review major opportunities or risks as and when the need arises.

In the Monash Warwick Alliance, the Academic Vice-President and his Project Operations Group act as a coordination and facilitation mechanism. The Academic Vice-President works with the senior management of both universities and the Project Operations Group assists the Academic Vice-President. They are *“acting as a coordinator and a diplomat to find solutions.”*

“The Academic Vice-President has to act on behalf of both universities, and is constantly aware of the two universities. I think that plays a really critical role in the formation of the alliance, because that person provides linkage at a senior level.”

They also work across all parts of the academic and administrative departments including a financial team, human resource team, and legal office. The Project Operations Group was set up across the two universities, so the members work to make connections between the two universities. Moreover, they work with the academic and administrative organs of both universities to facilitate the collaboration of various departments of both universities. They are *“acting as a bridge within their institutions, creating a connection, linking the parts focused in the alliance together, and making it happen.”*

“We are acting as a linchpin, drawing on the different parts of the university and coordinating these in managing the activities that the alliance is doing from a central control point of view. ... That connection doesn't happen without facilitation, without support. And another role the project team plays in a very important way is acting as a catalyst, as an interpreter. ... Because we have different ways of doing things in both universities, we try to work through the differences and support people who are trying to work across those. We have developed a good understanding of how the two universities are different and how to help people to navigate through those differences.”

As such, the Academic Vice-President and the Project Operations Group play catalyst roles as coordinators, facilitators, and interpreters in implementing ambitious joint activities that have not been done before. Their coordination and facilitation roles contribute to enhancing accountability, transparency, and learning capacity of the alliance and the both universities.

CHAPTER 7

CONCLUSION

7.1 Critical Principles and Attendant Practices in the Three Essential Phases

This section discusses the critical principles and attendant practices in the three essential phases identified in the interviews. The three essential phases are building a partnership (hereinafter referred to as Phase-1), consolidation and catalysing maturity (Phase-2), and maintaining a positive cycle between growth and consolidation (Phase-3). This study looked at two types of international partnerships, namely partial and task-specific partnerships for Double Degree Programme (DDP) and a comprehensive and organised strategic alliance, the Monash Warwick Alliance. The critical principles and attendant practices in each type of partnerships are first discussed separately and then compared.

The critical principles and attendant practices in those three phases are summarised in Table 5 (p.179-180). This summary includes not only the actual practices into which the critical principles are embedded, but also any omissions or limitations that are considered essential to facilitate Phase-2 and Phase-3.

7.1.1 DDP Partnerships

7.1.1.1 Critical principles and attendant practices in Phase-1

In the case of the sample DDP partnerships, all universities focused their time and efforts to the building of the partnerships. There is significant communication and learning concerning the partner's practices when first making the decision to create a partnership and in determining the aims of the joint programme. Detailed discussions on curriculum, academic calendar, and other necessary matters ensue and implementation requirements are determined and provided in a memorandum of agreement in Phase-1. Through this process, the three identified principles, namely accountability, transparency, and learning capacity, are embedded in the practices inherent in making the decision to develop a programme, sharing information to gain knowledge of the partner's educational organisation and practices, and discussing issues together to make necessary decisions. According to those involved in the DDP partnerships, the core structure of the partnership determined in Phase-1 is the most important factor in the success of their partnerships.

7.1.1.2 Critical principles and attendant practices in Phase-2

The DDP partnerships studied here were initiated under pre-existing personal connections between key individuals. After a programme was launched, the mutual trust relied upon in the pre-existing personal relationship becomes the main driver of the partnership. When faced problems during the programme's implementation, those involved communicate to find solutions together. This indicates that transparency is maintained by communication among key individuals, and those around the key individuals are still crucial in Phase-2. Accountability is embodied in the existence of these key individuals, but not so much in the decision-making practices in Phase-2. This is because most of the important decisions, which provide the core structure of the programme and require approval from the high-level management of each university, were already made in the development stage. There are some decisions concerning the day-to-day operation of the programme, but these are made by a small number of people responsible for directly managing the programme.

Those managing the programme gain learning by facing operational problems and solving them. Furthermore, learning can be shared among EU-Japan Advanced Multidisciplinary Master Studies (EU-JAMM) consortium members. However, in terms of learning expansion across the university community, learning is shared by a limited number of managing faculty members and does not spread to other staff in most cases. Only the Centre for European Studies, the University of Leuven (AE-KUL) has a shared learning system (provided by their central administration) that includes regular meeting for liaison officers and also for Erasmus coordinators.

Learning is also acquired through review processes. However, while the universities seek students' feedback on the programme, most do not have any other quality review systems. They do not have adequately developed quality assurance schemes. In addition, most of the knowledge and experience is accumulated by a small number of managers, which underlines serious fragility because knowledge and experiences can be lost once an experienced staffer leaves the project. These problems were identified by respondents in the Faculty of Engineering, Kyushu University (E-KU) and the Faculty of Law, Kyushu University (L-KU). They are aware that the problems may inhibit the process of consolidation and catalysing maturity, expressing the need for a more robust review system and a formal mechanism to retain institutional knowledge and experiences.

The most important factor for the DDP partnerships is the continuity of the programme achieved by maintaining the status quo. One of the main obstacles against continuity is the depletion of financial resources for students' scholarships. The loss of scholarship funds

represents a loss of legitimacy for students to participate in the programme. Without student enrolment, educational programmes are never sustainable. The managing people understand that they need a joint committee or board focusing on the growth and consolidation of their programmes as well as commitment and support from the central university administration. In other words, they perceive the importance of accountability demonstrated by their university's central administration and transparency to maintain linkages with it. Such management structures need to be developed to dispel uncertainty surrounding future growth and consolidation, and while the programmes are in a stable condition with secured financial resources.

7.1.1.3 Critical principles and attendant practices in Phase-3

Many respondents stated that staying in the consolidation stage is crucial for Phase-3. Furthermore, regarding positive cycles, these do not necessarily refer only to the growth of new activities as existing activities can be retained (though there may be some slight revisions) to maintain the cycle of growth and consolidation. By contrast, others stated that the partnership could only be maintained by entering a new growth stage; in other words, by creating a new programme. This is a new dimension of the growth and consolidation cycle. However, whether a university stays in the consolidation stage or enters a new dimension of growth and consolidation, it is crucial for them to demonstrate maturity in managing a partnership. This maturity is supported by the ability to analyse the current situation, identify problems, reconstruct arrangements, and make necessary improvements. A partnership grows to such maturity through experiencing all practices identified in Phase-1 and Phase-2. It means that the level of maturity can be catalysed by learning capacity. The more proactive action of creating a new programme can significantly increase institutional and individual learning.

The principle of coordination and facilitation is embodied in the practice of negotiation and communication between partners and internally among relevant offices and people. However, just a small number of faculty members are responsible for coordination, and it is therefore necessary for any support office to play a coordination role to connect with the counterpart administration.

7.1.2 Monash Warwick Alliance

7.1.2.1 Critical principles and attendant practices in Phase-1

Accountability

The Vice-Chancellors of both universities initiated the Monash Warwick Alliance and they and other senior management from both universities continue to commit to the decision

making of the alliance. In Phase-1 they built up the Alliance Governance Structure, which connects both universities' administrations. Furthermore, they set up three working groups in three focus areas, research, education, and administration, where the heads in those areas meet to initiate strategic projects. Later in the initiation stage, the working groups were reorganised as task-focused groups, which are called upon by the strengthened steering organs, the Alliance Steering Committee and the Academic Vice-President. Accountability is demonstrated in this robust alliance governance structure with the commitment of the senior management and the academic and administrative leaders, which is endowed with an effective decision-making process.

Transparency

The Alliance Governance Structure involving senior management and key academics and administrators of both universities reflects their communication strategy to maintain transparency among the wider communities of both universities. The roles of the Academic Vice-President and the Project Operations Group are crucial in the communication strategy to facilitate communication (in formal and informal ways) with senior staff and key people as well as the main departments of both universities. The governance structure included the exchange of knowledge and expertise between the Project Operations Group and the regular staff in both universities. Before setting up the Project Operations Group, they had three working groups to enhance the sharing of practical information (e.g., on organisation, practices relating to research and education, and the administration of both universities) to initiate joint projects. The working groups made direct connections into the research, education, and administration portfolios of each university, which contributed to developing ideas on alliance strategies.

Learning capacity

The Alliance Governance Structure connecting various people from both universities has produced considerable learning. The interactions among those from different universities while working together for a common project also results in learning. Mutual understanding and trust can also be derived. Learning capacity in Phase-1 is demonstrated in the process of knowing and understanding the other partner's organisation and practices, as well as the values and priorities of both universities. Based on such learning, the partners built the alliance's strategic plan to clarify the alliance's activities. This process may affect whether or not the partnership is embedded in the later stages. From Phase-1 to Phase-2, they experienced the decision-making process in action and a number of research and education projects were introduced. It is their learning capacity that the universities also identified the limits of each decision-making body and made some necessary revisions to improve the structure with a

stronger steering function.

7.1.2.2 Critical principles and attendant practices in Phase-2

Accountability

Two years after the original governance structure was formed, the Alliance Governance Structure was reinforced. The steering function of the alliance was empowered by the establishment of the Alliance Steering Committee, the Academic Vice-President (who chairs the steering committee), and the Project Operations Group. The Alliance Board consisting of senior management from both universities was set up above the Alliance Steering Committee as the highest decision-making committee. The new structure clarified the formal authority and championship of the Alliance Board and a strong steering function with swifter decision making through the Alliance Steering Committee and Academic Vice-President. This structure worked to consolidate the alliance in Phase-2 and Phase-3. However, there is a suggestion that it could be further improved by including faculty deans from both universities in the committees to properly create and manage linkages with all faculties. This improvement also ensures accountability about the research funding assigned to particular areas and why those areas were selected. Obviously, a guaranteed budget is another essential condition for consolidation.

Transparency

As is the case with the Phase-1, the Alliance Governance Structure works as a mechanism to maintain transparency between the alliance and stakeholders formally and informally. Formally, the structure that the Academic Vice-President chairs the Steering Committee and holds membership to all other committees ensures the effective maintenance of regular communication. As an informal route, which is equally significant especially in communicating with senior staff who are not involved in the alliance governance structure, coordination of the Academic Vice-President and the Project Operations Group works to maintain and enhance transparency.

As the alliance's strategies were implemented, the role of the working groups (consisting of expert faculty members and administrators from both universities in the areas of research, education, and administration) became less important. The working groups were reorganised as ad hoc task-focused groups called upon by the Alliance Steering Committee and the Academic Vice-President. Some consider that the reorganisation of the working groups resulted in decreased opportunities for the involvement of faculty leaders and regular academics in the alliance, which reduced transparency between the alliance and regular academics.

Learning capacity

In the case of the Monash Warwick Alliance, significant learning was achieved by working together to address issues caused by differences. In view of the fact that the two universities are different in many ways, the people working together in the alliance needed to break through challenges caused by these differences to explore new ways of doing things together. This process enabled not only individual learning but also institutional learning to develop some important abilities, all of which are essential to avoid the stagnation and decay of a partnership. The respondents identified the abilities as pragmatism, flexibility, adaptability, and versatility. These abilities help the parties as follows: to realistically deal with matters to accommodate differences; be willing to rework processes to ensure the universities have similar priorities; be willing to revise and refresh the original plan if it is too challenging for the current environment; the ability to adapt to changing circumstances and change itself; and expand the learning derived from the alliance to other partnerships with other universities or other areas of the university. The respondents commonly recognised that these abilities are requisites to both successfully develop joint activities and to ensure that the alliance operations work well.

The alliance regularly conducts a formal review of the impact and achievements of alliance initiatives, and benchmarks these achievements against the initial plans. They also have an informal and ad hoc review process on practical matters where the person in charge is asked to produce a review report for the Project Operations Group. Learning is institutionalised as all deliberations and decisions are recorded and documented. However, as in the case of DDP partnerships, considerable institutional learning is stored in the personal memories of staff. Thus, a mechanism for the long-term and reliable transferring of learning from person to person is required. As a countermeasure, the alliance has a flexible personnel management policy to ensure that those currently holding the expertise can pass it on to succeeding teams.

The alliance has created many joint projects across both universities and has generated a positive impact on institutional learning. Learning transfer occurs across a much wider range of people in a comprehensive partnership that involves a wide range of stakeholders. This can create a learning circle in both universities. Learning spreads from people directly working for the alliance to those engaged in the university's normal activities. In return, those in the alliance gain new knowledge by working with people from a different university with different administrative norms and practices.

Coordination and facilitation

The Vice-President and the Project Operations Group act as a coordination and facilitation

mechanism for the alliance. The Project Operations Group works across all parts of the academic and administrative departments of both universities to facilitate collaboration among various departments from both universities. The coordination roles of the Academic Vice-President and the Project Operations Group bridge the two universities and facilitate linkages that are indispensable for the success of the alliance.

7.1.2.3 Critical principles and attendant practices in Phase-3

The dynamics of a positive cycle for the alliance is not limited between the growth and consolidation stages, but starts from the development/initiation stage and reaches the consolidation stage. A cycle from development/initiation to consolidation reoccurs by constantly initiating something new. By maintaining this cycle, a partnership is able to avoid falling into stagnation and decay. For the alliance, positive cycles do not repeat on the same track. Initiatives that go through growth to reach consolidation in the first cycle can enter another cycle of growth in a slightly or significantly different way. A cycle that is significantly different is more dynamic and innovative. Thus, a new cycle will enter a new dimension of a positive cycle by going through significant changes.

Needless to say, all practices identified in Phase-1 and Phase-2 are indispensable in maintaining a positive cycle between development/initiation and consolidation. The principle of learning capacity is particularly important when making strategies for future alliance activities. Whatever the path taken by the alliance, a slight change or entering a new dimension, the alliance must review past performances and identify what was successful, what needs to be improved, to what extent they can make a change, what new initiatives can be developed, and so on. This review process is vital when they decide to enter a new cycle in a new dimension. The alliance also needs to make a communication strategy to persuade stakeholders to support new initiatives and exercise coordination to enhance collaborative works.

The interviews revealed two key qualities generated from learning that are vital to maintaining a positive cycle, namely adaptability and innovativeness. Adaptable organisations are able to adjust their activities according to changes in circumstances and modify them as suitable for a new purpose. Organisations that demonstrate adaptability to change are able to take a proactive approach to innovation. Adaptable and innovative organisations are able to constantly initiate new activities.

7.1.3 Comparison between DDP Partnerships and the Monash Warwick Alliance

This study identified several attendant practices in the DDP partnerships and the Monash Warwick Alliance. However, it is difficult to simply compare the practices of both types of partnerships because there are significant differences between the two in their scope of activities and range of stakeholders. In terms of the scope of activities, the DDP partnerships implement a single joint activity (i.e., a double degree master course) while the Monash Warwick Alliance operates multiple university-wide activities in various areas of research, education, and administration. The main stakeholders for the DDP partnerships are a limited range of faculty, administrative staff, and students, while the Monash Warwick Alliance involves a much wider range of people across the two universities.

The purpose of this section is not simply to compare the practices of both partnership types. In considering the distinctions between the two, the following is clear: the DDP partnerships are partial and task-specific international partnerships and the Monash Warwick Alliance is a comprehensive and organised strategic alliance. Thus, the comprehensive and organised strategic alliance of the Monash Warwick Alliance represents an evolved model of a partial and task-specific partnership of the two DDP partnerships. This study then identifies what practices must be developed for a partial and task-specific international partnership to evolve into more comprehensive and organised strategic alliance.

7.1.3.1 Accountability and attendant practices

Significant differences between the two types of partnerships can be found in two major areas. One is the commitment and championship of the senior management of participating universities and the other is the management structure. The substantial management of the DDP partnerships relies on a management team comprising a small number of academics in each faculty. There is no stable management structure particularly for the DDP partnerships, other than the information sharing function of regular consortium meetings. By contrast, the Monash Warwick Alliance was initiated by senior management from both universities and received their continued support. This indicates that the alliance has been given the formal status of a priority project of each university, which makes it easier for stakeholders to recognise its validity.

The management structure of the Monash Warwick Alliance is equipped with a number of distinctive functions. First, it has the Alliance Board as its highest decision-making committee, consisting of vice-chancellors and other senior management members from both universities to show formal authority and support. It also works to make connections among the senior levels of both universities. Second, the Monash Warwick Alliance jointly initiates and controls various projects by two universities. Therefore, they need a more systematic and stable

management structure to make decisions together and the management organisation needs to have the capacity to explain the decision-making process clearly to show accountability to their stakeholders.

The Monash Warwick Alliance presents a strong steering function through the Alliance Steering Committee and the Academic Vice-President (the committee chair). The Project Operations Group, which is set up across both universities and consists of administrators employed in each university, deals with the operational work of the alliance. The steering function of the committee and the Academic Vice-President is a driver of the implementation and control of all alliance activities. The Project Operations Group is responsible for all practical matters relating to the operation of the alliance activities. It plays a crucial role, acting as a catalyst to integrate people from both universities and make things happen. The devotion of those working in operations appears to be another crucial part of the alliance management, and human resource management is expected to assign the right person to the right task.

Third, the original structure of the working groups (consisting of experts from both universities in the areas of research, education, and administration) worked effectively in initiating strategic joint projects. The structure of the working groups was later reformed as ad hoc task-focused groups to be called upon by the Academic Vice-President as necessary, but the function of sharing expertise between both universities to solve problems or initiate new projects remains.

7.1.3.2 Transparency and attendant practices

Communication and information sharing occurs among a limited number of people involved in the programmes for the DDP partnerships. By contrast, transparency in the Monash Warwick Alliance is supported by its governance structure. Having senior management, key academics, and administrators from both universities as the core management group contributes to enhancing the openness and sharing of information and expertise among the wider communities of both universities. The Academic Vice-President and the Project Operations Group work to bond the alliance with senior management teams and key people as well as the key departments of both universities in formal and informal ways. Their role bridging the alliance and stakeholders is indispensable to generate collaboration. They act as an interpreter to explain the purpose and value of the alliance activities to stakeholders. The original working groups and the amended task-focused groups share expertise from both universities and generate collaboration among experts.

Information on alliance activities is generally disseminated across the universities through regular e-mail updates and web news every week or so. As a tool to provide transparency regarding researcher resources, they operate a free online tool that links the researchers of both universities.

7.1.3.3 Learning capacity and attendant practices

For the DDP partnerships, learning occurs and spreads mostly among the small number of people directly engaged in the programme management and to some extent to those working for the Erasmus programmes (i.e., KU Leuven). By contrast, learning occurs in the Monash Warwick Alliance on a wider scale, and is generated and transferred in a more systematic way. The Monash Warwick Alliance is more comprehensive and organised with a wider range of stakeholders. It also implements multiple university-wide activities in various areas. Because of the comprehensiveness and accompanying complexity, the alliance has much more experience confronting difficulties in management and finding solutions. Such experiences can increase learning capacity at both institutional and personal levels. Learning capacity can be further enhanced in the Monash Warwick Alliance in that people from different universities work together for a common project, by not only gathering expertise but also in overcoming difficulties that can arise in developing a project.

Some of the specific abilities gained through such learning were identified from the interviews. Those involved gained the ability to deal with things in a flexible and pragmatic way to accommodation differences, flexibly revise and refresh original plans to ensure that both universities have similar priorities, make any suitable changes adapting to the circumstances, and to spread learning to other areas. While the acquisition of these abilities is seen in the DDP partnerships to some extent, it happens to a much higher degree in the Monash Warwick Alliance.

In addition, the alliance has a regular formal review on the impact and achievements of initiatives and an informal and ad hoc review process on practical matters based on a personal report that is produced as required. Learning is institutionalised partly through documented records. For learning accumulated in personal memories, it has a flexible personnel management policy to retain expertise when old staff leave and new staff arrive through the sequence of people involved in a current team and a succeeding team.

This process of learning in the Monash Warwick Alliance evokes Davies's ascending levels of maturity of university stakeholder clusters for entrepreneurial universities (Figure 4, Chapter 4.2.1). According to Davies (2001), universities with mature systematisation and

sophistication are able to show, as the level of maturity ascends, the ability to analyse elements in terms of effectiveness, confront problems, and then reconstruct existing arrangements. Given the development of learning in the Monash Warwick Alliance described above, it appears that the ascending maturity of entrepreneurial universities is evident in the Monash Warwick Alliance and maturity can be catalysed by learning capacity.

7.1.3.4 Coordination and facilitation, and attendant practices

In most cases, coordination and facilitation ability within the DDP partnerships relies on a small number of managing academics, and these academics have identified the need for an administrative group or person to take a coordination role. By contrast, in the Monash Warwick Alliance, the Academic Vice-President and Project Operations Group act as a coordination and facilitation mechanism, which is officially provided by their governance structure. This evidence suggests that the coordination and facilitation mechanism of the Monash and Warwick Alliance is much more stable and solid.

7.1.3.5 Comparison between DDP partnerships and the Monash Warwick Alliance reviewed

The foregoing analysis has identified those practices that are exercised in a comprehensive and organised strategic alliance but not in a partial and task-specific international partnership. This thesis indicates that developing these practices in its management structures and processes is of great consequence for an international partnership hoping to evolve into a more organised partnership. Management structures and processes are of great importance, as an interview respondent from the Monash Warwick Alliance stressed the importance of its governance structure of accountability. The structure should not be too rigid but be sufficiently flexible, adaptable, and pragmatic to facilitate collaboration between the two different universities. This is similar to the management of a learning university as described by Duke:

Most important is not a tidy structure with the right number of layers and lines of responsibility and control but an arrangement for managing energies, meeting objectives and ensuring accountabilities which enables internal and external networking, opens up core business options and enables the learning university to adapt, respond and grow (Duke 2002, p.150).

A partnership well equipped with a management structure and processes of accountability and transparency is able to develop a wider scope of activities. At the same time, a partnership that shows a high level of maturity catalysed by learning capacity (e.g., flexibility, adaptability, and innovativeness) is able to manage the complexity that emerges as the scope of activities expands and the number of partners increases. This study defined the phase of consolidation

and catalysing maturity as one of the essential phases (Chapter 4.2.3). To ensure consolidation, a partnership should adapt to changing circumstances by reviewing performances, identifying problems, working for resolutions, and making improvements. Reflecting on the concept of a capable partnership management structure and the essential elements for catalysing maturity, it appears that the management structures and processes of the Monash Warwick Alliance have reached a very high level of maturity.

7.2 Answering the Research Questions

This study provided a main research question and five sub questions.

Main research question:

What might a phase- and principle-based management approach contribute to the understanding and success of international partnerships between universities, specifically in a Japanese context?

Sub questions:

- (1) Are the proposed three essential phases for success actually important in practice in international partnerships?
- (2) What are the critical principles and attendant practices in guiding a management practice that can integrally and synergistically facilitate the essential phases?
- (3) How are the current strategic management processes on the DDP model being implemented by Japanese universities, to what extent are they based on these critical principles, and what is the limit of their usefulness?
- (4) What are the key features of a comprehensive and organised strategic alliance, and what added value does such alliance provide that a partial and task-specific partnership may not in achieving successful international partnerships in the case of Japanese universities?
- (5) What are the implications of this phase- and principle-based approach for universities in Japan, which aim to tap into the potential benefits of international partnerships?

The following sections will attempt to answer each sub question with the exception of question 5, which is provided separately in Chapter 7.7.

Table 5. Critical Principles and Attendant Practices

	Phase-1			Phase-2		Phase-3	
	DDP Partnerships	Monash Warwick Alliance	DDP Partnerships	Monash Warwick Alliance	DDP Partnerships	Monash Warwick Alliance	
Accountability	<ul style="list-style-type: none">- Initiation by key individuals based on the pre-existing relationship.- Making decisions on developing a program and core structure of a program.	<ul style="list-style-type: none">- Initiation and continuing involvement of the senior management of both universities.- Building the governance structure consisting of senior management and administrative leaders of both universities for connecting both universities.- Setting up the working groups, consisting of leaders of the areas, for research, education, and administration to initiate strategic projects.	<ul style="list-style-type: none">- Existence of the key individuals who initiated a partnership.- Decisions relating to day-to-day operation by limited managing faculty.- Need for financial legitimacy for students to participate in a program.- Need for support from the central administration of a university.	<ul style="list-style-type: none">- Clarification of formal authority and championship of the alliance board.- Steering roles of the alliance steering committee and Academic Vice-President of Alliance and the Project Operations Group.- Support from the senior management of both universities.- Guaranteed budget.- Need for involvement of academic leaders, e.g. faculty deans.	<ul style="list-style-type: none">- Need for making decisions on future development.- Need for support from the central administration of a university including budget.- Need for creating legitimacy of the partnership for stakeholders.	<ul style="list-style-type: none">- Need for continuing senior management commitment to important decision-making and their understanding and support for sustainability of the alliance.-Need for maintaining effective governance structure.- Guaranteed budget and investing successful projects.	
Transparency	Phase-1			Phase-2		Phase-3	
	DDP Partnerships	Monash Warwick Alliance	DDP Partnerships	Monash Warwick Alliance	DDP Partnerships	Monash Warwick Alliance	
	<ul style="list-style-type: none">- Sharing information on both educational organization and practices.- Detailed discussion to decide core structure of a program.	<ul style="list-style-type: none">- Setting up the governance structure to involve senior management and key administrators of both universities to ensure openness between partners and within a university.- Gathering leaders in focused area from both universities to set up the working groups.- Enhancing proper information sharing in the working groups to initiate joint projects.	<ul style="list-style-type: none">- Communication to find solutions for problems arising in operating a program.	<ul style="list-style-type: none">- Maintaining the governance structure to involve senior management and key administrators of both universities to ensure openness between partners and within a university.- Roles of Academic Vice-President and the Project Operations Group to facilitate communication with senior management and key people as well as key departments of both universities in both formal and informal ways.- Communication strategy to involve wider communities of both universities.- Information dissemination by regular e-mail updates, web news, and online researcher database- Need for creating more systematic linkage mechanism between the alliance governance and regular faculty members to enhance communication	<ul style="list-style-type: none">- Need for communication to decide future direction and development of a program.	<ul style="list-style-type: none">- Need for maintaining and improving the governance structure to keep openness to stakeholders.- Need for continuing delicate interpreting roles of Academic Vice-President and the Project Operation Group.	

Learning Capacity	Phase-1		Phase-2		Phase-3	
	DDP Partnerships	Monash Warwick Alliance	DDP Partnerships	Monash Warwick Alliance	DDP Partnerships	Monash Warwick Alliance
	- Mutual trust relied on pre-existing personal relationship. - Learning the partner's educational organization and practices each other.	- Learning the partner's organization and practices. - Assessment of partners - Demonstrating the values of both and understanding each other. - Identifying the common priorities of both universities reflecting their value. - Building and improving the alliance governance structure. - Identifying the limits in the governance structure and making necessary revision.	- Mutual trust relied on pre-existing personal relationship. - Reviewing feedback of students. - Learning accumulated in personal memory. - Need for more robust review system and formal mechanism to keep institutional knowledge and experiences.	- Acquiring learning by breaking through difficulties caused by the differences. - Growing abilities of pragmatism, flexibility, and adaptability to facilitate collaboration of two different universities and make the alliance work smoothly. - Growing ability of versatility to expand the learning from the alliance to other areas. - Reviewing on impact and achievements of initiatives and benchmarking with initial plans. - All deliberations and decisions are recorded and stored in documentation. - Informal and ad hoc review on practical things based on a report produced by a person in charge. - Mutual understanding and trust derived from working together. - Exchange of knowledge and expertise between the operating staff and regular staff in both universities. - Creating a learning circle in both universities by interaction between the operating staff and regular staff, which generates mutual learning. - Flexible personnel management to keep continuation of expertise in the operating people from the current to succeeding team.	- Need for demonstrating maturity supported by the abilities of analyzing current situation, identifying problems, reconstructing arrangement, and making necessary improvement.	- Need for acquiring learning by breaking through difficulties caused by the differences. - Need for growing abilities of pragmatism, flexibility, and adaptability to facilitate collaboration of two different universities and make the alliance work smoothly. - Need for reviewing on impact and achievements of initiatives and benchmarking with initial plans. - Need for adaptability to adjust to changes of circumstances and modify the activities suitable for a new purpose. - Need for renewal and innovation to make another growth and consolidation in a different way in the same dimension or in a new dimension of dynamic and innovative changes. - Need for innovativeness to provide a space for exploring new things to initiate something new.
Coordination	Phase-1		Phase-2		Phase-3	
	DDP Partnerships	- Negotiation by managing faculty members. - Need for an administrative person or group connected to the counterpart administration.				
	Monash Warwick Alliance	- Academic Vice-President and the Project Operations Group work with the senior management and work all parts of the academic and administrative departments of both universities, acting as a bridge to facilitate the linkage.				

7.2.1 Are the Three Essential Phases Important in Practice?

The three essential phases in this study are as follows: building a partnership, consolidation and catalysed maturity, and maintaining a positive cycle between growth and consolidation. An analysis of the respondents' comments revealed that in all three phases, various important practices are identified to contribute to facilitating those phases. Thus, the three phases are vital to the success of a partnership.

In the first phase, building a partnership, the two parties had close discussions to determine the values of both parties and their needs. Based on this discussion, the parties then decide on the activities they will engage in together. They learn much about their own organisation and the partnering organisation. They construct a management structure to ensure the smooth operation of the partnership.

The second phase, consolidation and catalysed maturity, is especially important to avoid stagnation and decay and to sustain the partnership. The partners strive to consolidate the partnership by doing various things, which are summarised in Table 5. Substantial learning is generated in this phase by the two different universities working together for a common objective. The learning improves the maturity of the partnership. The respondents recognise that without a consolidation process, their partnership would not be sustainable.

The third phase, maintaining a positive cycle between growth and consolidation, is also regarded as important for sustaining a partnership, and moreover, this phase is critical in determining the partnership's future development. As most respondents perceived the development/initiation stage and the consolidation stage to be significant, a positive cycle can occur between development/initiation and consolidation, and not necessarily between growth and consolidation. The positive cycle for them is one of transition, as it does not repeat along the completely same track. Initiatives that travel through growth to reach consolidation in the first cycle can enter another cycle of growth in a different way. Another more dynamic and innovative cycle is to enter a new cycle in a new dimension by going through significant changes or creating a new programme.

7.2.2 Are the Three Critical Principles Important in Practice?

This study postulated the roles of the three principles as follows: accountability is particularly essential in the processes of driving and controlling the configuration and operation of partnership management; transparency is essential in the processes to enhance the effective

flow of information through communication and the sharing of knowledge and information to create cohesion with stakeholders with trust; and learning capacity enhances the improvement of overall management practices and processes and thereby increases the ability to adapt to changes and ensure that innovation occurs (Chapter 4.4.5). Various attendant practices were identified in the actual activities of both types of partnerships. It can also be said those practices demonstrate the indicated roles of the principles, as was discussed in Chapter 7.1 and summarised in Table 5. Thus, the three critical principles are regarded as important in practice.

7.2.3 How are the Current Strategic Management Processes on the DDP Model Being Implemented by Japanese Universities?

This study looked at two faculties in one Japanese university, namely E-KU and L-KU, and this section discusses the management approaches implemented by those two faculties. The development methods and management situation of the two partnerships are similar. They developed their DDP partnerships based on a pre-existing personal connection of a leading professor. The central administration of the university made a commitment in the early stages by advising on curriculum development and approving the programme agreement. Important decisions relating to the core structure of the programme, which requires the approval of the central management of the university, were made in the development stage. Once a programme agreement is approved, there is no further support and commitment from senior management and the university.

The management organisation in each faculty is slightly different. E-KU does not have a solid structure such as a faculty-level committee to discuss and make decisions regarding the international partnerships developed by faculty members. The partnership only needs to receive approval for the programme agreement at a faculty meeting (chaired by the faculty dean). L-KU has a slightly more solid organisation. They have a faculty meeting chaired by the faculty dean as the faculty's decision-making organisation, and below the faculty meeting are two committees, namely a general management committee and an international affairs committee. International partnerships need to be approved by all three committees. However, once partnership development is approved, there is no further support and commitment from those committees for management in both cases.

A small number of faculty members participate in a management team for both E-KU and L-KU, and personal connections remain the only true management mechanism. Therefore, maintaining the personal connection is critical for these partnerships. At the same time, they are aware of the possible risk of the termination of the partnership if the leading professor

leaves the management team or financial support ends, and therefore there have been requests for official management mechanisms.

Information sharing and learning about the other partner's practices occur in the early stages of the partnership among a limited number of management staff. They also gain learning through addressing and resolving operational problems. However, learning is only shared internally by a small number of managers in each faculty, and is not disseminated to external people. They regularly obtain students' feedback on the programmes, but this is the only quality review. They are aware of the weak quality review process and see the need for a more robust review system and formal mechanisms to retain institutional knowledge and experiences. Knowledge and experience are retained in personal memories, and this underlines a serious fragility in that knowledge and experience can be lost when skilled staff members leave the project.

As mentioned above, E-KU and L-KU have not implemented a particular strategic management approach. However, respondents stated that any practical measures to aid connections with the central administration of the university are necessary to receive adequate support. This will improve the uncertainty surrounding future growth and consolidation while the programmes are still in a stable condition with secured financial resources.

7.2.4 What Are the Key Features of a Comprehensive and Organised Strategic Alliance, and What Added Value does Such Alliance Provide that a Partial and Task-Specific Partnership May Not in the case of Japanese universities?

This study has clearly identified that the Monash Warwick Alliance provides added value that the DDP partnerships do not. This issue is further discussed in Chapter 7.1.3.

The most noteworthy feature of the Monash Warwick Alliance as a comprehensive partnership is its governance structure, which comprises the Alliance Board and the Alliance Steering Committee. These bodies demonstrate strong accountability and steering power, and maintain the commitment and championship of senior management to the alliance. In addition, the Academic Vice-President and the Project Operations Group provide strong direction and a coordinating force that bridges the alliance and stakeholders. The Alliance Governance Structure includes senior management, administrative leaders, and academic leaders from both universities in the constituting committees. This contributes to their communication strategy to involve wider communities from both universities. Regarding operations, the working groups under the original governance structure and the succeeding task-focused groups function to

integrate the expertise of both universities to solve problems and initiate new projects.

The alliance has a regular formal review on the impact and achievements of initiatives in addition to an informal and ad hoc review process on practical matters based on a personal report to be produced as required. By going through the review process, they can select initiatives that are likely to succeed in the future, make decisions on all activities, and make necessary changes or even abandon projects. The review process is particularly important with the development of new initiatives, representing the start of a new cycle in a new dimension.

The Monash Warwick Alliance has implemented multiple university-wide activities in various areas and has engaged with a wide range of stakeholders. Because of its comprehensiveness, the alliance has considerably more experience in confronting difficulties in management and finding solutions. Learning capacity is enhanced in the alliance as experts from the two universities work together for a common project; they not only source the appropriate expertise but also overcome difficulties together. Learning is institutionalised partly by careful documentation. The alliance also has a flexible personnel management policy to retain expertise in key staff. As such, the ascending maturity of the alliance has been catalysed by the increasing learning capacity.

7.3 Towards a More Developed Positive Cycle of International Partnerships

This study proposed three phases considered vitally important for the success of international partnerships, namely building a partnership, consolidation and catalysing maturity, and maintaining a positive cycle between growth and consolidation (Chapter 4). Among the three phases, maintaining a positive cycle between growth and consolidation can be regarded as a key condition for a partnership to avoid stagnation and keep growth and enable further expansion; this aids to maximise the chance of success. This idea was derived from Davies's concept that the evolving life cycle of higher education institutions consists of six stages, development, initiation, growth, consolidation, stagnation, and decay and termination (Figure 3), and that the institutional culture developed during the growth stage has an important bearing on the capacities of institutions to manage crises that may arise at a later stage (Davies 1991). Therefore, changing and revising can or must be generated between the growth and consolidation stages, before reaching the consolidation stage. Furthermore, by maintaining a process of change and revision, a partnership is able to avoid stagnation, which can lead to decay and termination, and maintain a positive cycle between growth and consolidation.

Based on this concept, this study conducted an empirical analysis of interview data. As a result of testing the concept, the following empirical evidence emerged.

First, the results of the empirical study indicate that the interviewees understand that a positive cycle occurs not only between growth and consolidation but can occur between the development/initiation and consolidation stages. A cycle between growth and consolidation may work sufficiently if a partnership repeats the same initiative but with slight changes. However, the perspective of most respondents is one that is more proactive and innovative.

They consider that both the development to initiation stages and the consolidation stage are important for a successful partnership. In the development to initiation stage, they had discussions with the other partner to determine the values of both parties and their needs; based on these discussions, the partners' roles and the alliance's activities were decided. Thus, important decisions that can affect the success or failure of the alliance must be made in these early stages. The important decisions made in the development to initiation stages will be realised in the growth stage. The initiatives realised in the growth stage will then be institutionalised and become stable. However, circumstances may change and some modifications will need to be made to adapt to changing circumstances in the consolidation stage. The respondents mentioned here that modifications require another performance review and the formulation of new strategies and plans. Therefore, the results of the empirical study show that the positive cycle occurs between the development and consolidation stages and this cycle enables the partnership to make innovative changes.

Second, the respondents, those from the Monash Warwick Alliance in particular, consider an advanced level of 'expansion' from the consolidation stage. Expansion is an element of growth in Davies's concept of life cycle, and according to Davies (1991, p.208), some universities achieved considerable expansion in the number of subjects and departments in the growth stage. In addition to expansion in the growth stage indicated by Davies, this study identified that another expansion is possible, that is, more innovative expansion extending from the consolidation stage.

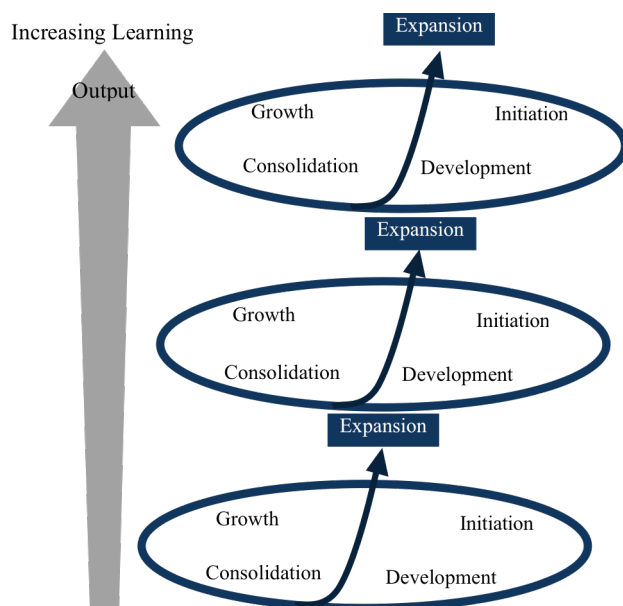
For innovative expansion, initiatives that go through growth to reach consolidation in the first cycle would enter another cycle starting from development, initiation, and growth through to consolidation in a different way. A cycle of innovative expansion is more dynamic so that a new cycle will enter a new dimension through significant changes. The new cycle in the new dimension evolves from the original cycle but starts from a new development stage, and then goes through to the consolidation stage in the new dimension. The concept of innovative

expansion is illustrated in Figure 13.

If a partnership repeats the same initiative and revisions are so peripheral that the original initiatives are only slightly changed, it may not need to go to the new development stage and build a new strategy. In this case, a positive cycle can repeat between growth and consolidation in the way that developed initiatives are reviewed and adapted to changes and go through a slightly different growth. The cycle of the sample DDP partnerships would fall under this case, as their main purpose is to maintain the status quo. However, if the expansion is so innovative as to rigorously revise old initiatives or develop completely new initiatives, it requires another process to examine the value and need, and formulate new strategies for the new initiatives. Those involved in the Monash Warwick Alliance are aware of the concept of new initiative developments.

Third, institutional learning increases by going through an evolutionary process of development, initiation, growth, and consolidation. Learning occurs in every stage of the evolutionary process as the partners get to know each other, work together to overcome and integrate differences, analyse performance through quality review, manage crises, and make innovative changes. Therefore, a partnership could gain further learning as it evolves into a new cycle in a new dimension and experience new activities. Learning from experience can generate new knowledge and wisdom to be realised in innovation, and thereby empower universities. It can be said that learning is a consequential output of the innovative expansion model (Figure 13).

Figure 13. Innovative Expansion: More Developed Positive Cycle



7.4 Entrepreneurial Culture and International Partnerships

This study reviewed the literature to identify the essential elements supporting a university to become an entrepreneurial university. The literature review identified some common attributes for both an entrepreneurial culture and the capability to promote internationalisation and develop and manage international partnerships (Chapter 2.3). Those attributes include the impetus to change, willingness to invest in new fields, and the willingness to explore new ways of more effectively exploiting new fields. Entrepreneurial universities also have the capability to learn from experience, transfer the essence of learning across the university, and create genuine management structures and processes that are highly systematised to explore new things and implement comprehensive entrepreneurial activities.

Entrepreneurial universities are able to institutionalise the internationalisation process within their cultures and norms. Figure 1 (Chapter 2.3.3) illustrates the matrix proposed by Davies (1992, 1995), which evaluates the internationalisation approaches of universities in two dimensions, namely the degree of systemization of procedures and structures on a spectrum from ad hoc to highly systematic and the degree of institutionalisation from marginal (a low profile in the university mission) to highly central (permeating the fabric of the university). Universities in the most systematic mode with comprehensive activity (Quadrant D in Figure 1) are creative, inspired, and opportunistic so as to encourage innovation, as well as capable to solve problems. Thus, these universities are highly capable of developing challenging initiatives like a comprehensive and organised strategic alliance.

This study then conducted an empirical analysis on an existing comprehensive and organised strategic alliance, the Monash Warwick Alliance, to reveal the actual practices implemented in managing the alliance. The Monash Warwick Alliance is formally recognised as being a priority project of both universities. Its governance structure is equipped with stable decision-making authority and effectively steers a wide range of initiatives. It also coordinates a wide range of stakeholders and administrative organs from both universities. With senior management, key academics, and administrators from both universities in its core governance structure, the alliance's accountability to stakeholders is clear and it enhances openness, information sharing, and expertise among the wider communities of both universities. The coordinating role of the Academic Vice-President and the Project Operations Group is indispensable in generating collaboration. Because of the comprehensiveness and accompanying complexity, the alliance has much more experience confronting difficulties in management and finding solutions, and learning has resulted from such experiences. Those in senior management positions have come up with very innovative and original ideas of how to

expand the scope in the new life cycles with new dimensions (Chapter 7.3).

Taking the characteristics of entrepreneurial universities derived from the literature review and the practices identified in the empirical study on the Monash Warwick Alliance, many commonalities can be discerned. In addition, the alliance could facilitate learning to show the ability to analyse elements in terms of effectiveness, confront problems, and then reconstruct existing arrangements. The ascending maturity of entrepreneurial universities is obvious in the alliance. This indicates that the example of the Monash Warwick Alliance, as an existing comprehensive and organised strategic alliance, could support the concept that an entrepreneurial culture and preparedness for international partnership development are reciprocal and mutually affecting, and that the success of international partnerships is underpinned by an entrepreneurial culture.

7.5 A Phase- and Principle-Based Management Model: Theory and Practices

This study proposed a phase- and principle-based management model for the success of international partnerships (Chapter 4.5). The theory of this model is as follows. The model consists of three levels, namely individual universities, a partnership of multiple individual universities, and a partnership's outputs. An individual university is a compound entity formed by multiple institutions (organs) that each performs specified functions. These organs include senior management groups, international boards, international offices, and other administrative offices, schools, faculties, departments, and research centres. To implement innovative initiatives such as international partnerships, it is essential that each internal organ is capable of taking a management approach that embeds the three critical principles into its practices. If multiple universities, each of which comprises capable internal organs, develop a partnership, then the partnership is able to implement strong management that embeds the three critical principles into a set of its management practices. Such a partnership is able to facilitate the three essential phases to work integrally and synergistically as an output and thereby the partnership is successful.

Turning to the practices at the Monash Warwick Alliance, the empirical study implies that it established a strong governance structure that can systematically facilitate the three critical principles, namely accountability, transparency, and learning capacities. The Academic Vice-President and the Project Operations Group, with their steering functions, also provide a coordination function and each member's individual efforts and devotion greatly contributes to promoting the collaboration and learning. Regarding individual universities, this study did

not include an analysis on the internal organs of each university and cannot substantiate this segment of the model. However, the University of Warwick and Monash University are widely recognised as universities that have developed an entrepreneurial culture. They highly value global collaboration and strategic partnerships with carefully selected institutions around the world. Clark (1998, p.38) remarked that Warwick is a university with a strengthened administrative capacity and is a powerful model of a contemporary reformed university. Monash has adopted an international research-led strategy targeting a small number of relationships with top institutions in globally significant locations. These descriptions of their entrepreneurial culture and strategic internationalisation suggest the strength of the internal organs of the two universities.

Another point worth mentioning is that the internal organs of both universities work together for various activities under the alliance framework with the coordination of the Academic Vice-President and the Project Operations Group. This indicates that many of the internal organs are highly likely to possess management competence and maturity catalysed by learning, which is evidence of the universities' good management approaches. It means that the phase- and principle-based management model is applicable to the practical case of a comprehensive and organised strategic alliance. Moreover, taking the above points into consideration, the Monash Warwick Alliance and the two universities participating in the alliance (Monash University and the University of Warwick) can be regarded as organisations categorised in Quadrant D of the Davies's matrix for the characteristics of universities internationalisation approach, which shows systematic procedures and structures in policy formation and high centrality in institutionalisation of the policies. More details of Quadrant D organisational characteristics are elaborated in Chapter 2.3.3.

By contrast, in many cases of the sample DDP partnerships, the connection with the internal university organs is very limited in that a university's international committee and a faculty board merely approve a programme agreement in the initial stages and provide almost no support to the management teams. Furthermore, those partnerships do not seem to sufficiently perform those management practices that embody the three critical principles and the three essential phases. This indicates that the phase- and principle-based management model is not necessarily applicable to the sample DDP partnerships, as examples of partial and task-specific international partnerships. However, as DDP partnerships are becoming more comprehensive and gaining greater organisational maturity, their management structures and processes need to be moving closer to the model.

7.6 Limitations and Possible Alternative Approaches for Successful International University Partnerships

The main focus of this study was to identify the best management approach to ensure the success of international university partnerships. It was suggested that the best management approach is a phase- and principle-based management model for successful international partnerships, which is capable of facilitating the three essential phases of partnership development by implementing effective practices embodying the three crucial principles. This is a broad approach to the management of international university partnerships, which is transferable to all types of partnerships. However, there is a focus on other specific approaches, which are not discussed in any depth in this study, could be worth studying to provide a comprehensive discussion of the success of international university partnerships. Those approaches include the followings.

Leadership is a very important steering and coordination power and a leadership-based management approach is worth studying. For example, although the accountability and coordination approach of this study covers one aspect of leadership, compatibility of leadership style of partners was not explored. Further to compatibility of leadership style, future study also should look at compatibility of organisational maturity level of partners. From the study on Monash University and the University of Warwick, it is presumable that similar style of leadership and similar level of organisational maturity could condition an international partnership to success, especially in case of a comprehensive and strategic alliance. Furthermore, different styles of change management in the different phases and different stages of a life cycle need to be studied. It contributes to understanding more specific management style suitable to each phase and stage, which is most likely to encourage people to participate in a change process.

Human resource management is the centre of change management and essential in the effective management of international partnerships. The Monash Warwick Alliance created a new joint-appointment post of Academic Vice-President, and this post played a key role in managing the partnership. The Project Operations Group works with Academic Vice-President to act as an interpreter, coordinator, and catalyst that they integrate people from all parties to steer projects and increase and increase learning. Further study on human resource-based management approach could be pursued.

Many previous studies recognise the importance of cultural dimension in international partnerships. Because international partnerships are developed between different universities

from different countries, institutional and national culture could affect success and failure. This thesis did not empirically study cultural dimension of an international partnership, and this could be worth studying in depth.

This thesis studied management issue and did not cover governance issues. With the understanding that the quality of both governance and management affect success or failure of international partnerships, this study principally focuses on management issues to practically control, coordinate, and operate a partnership. This thesis recognises that the lack of discussion on governance is one of the limitations of this study and the future study could focus on the governance issues of international partnerships to take more holistic approach to success of international partnerships.

Quality control is a lifeline for joint educational projects such as multiple degree programmes. Although this study targeted some double degree partnerships, this issue was not specifically addressed here. Reputation management of both a partnership and those institutions participating in a partnership is related to quality control, student enrolment, fundraising, and other elements. Student enrolment is also a critical issue for educational projects and could be affected by quality, reputation, and funding.

Safety management against unforeseen risks including national policy changes and incidents or accidents is becoming more important under the increasing threat of terrorism. As the mobility of students and researchers is essential for international partnerships, the issue of security poses a serious threat to their success. An approach covering all those elements could be explored in later studies.

7.7 Implications for Japanese Universities

At the present time, Japanese higher education policy places significant emphasis on increasing the global competitiveness of Japanese universities, and is striving to boost international partnerships as a tool for achieving the political goal. In the area of research collaboration, the Japanese Ministry of Education, Culture, Sports, Science and Technology (MEXT) has funded several large international joint research projects to strictly selected comprehensive universities, most of which are highly ranked national universities and private universities. While, mainstream educational partnerships are currently represented by double degree programmes. In 2014, MEXT published a guideline for developing joint and double degree programmes between Japanese and foreign universities to introduce and promote

international joint degree programmes to Japanese higher education.

Considering that a joint degree programme is more complex than a double degree programme, developing such a complex programme is a major challenge for Japanese universities. A joint degree programme requires the real and intimate collaboration of academics and administrators to implement joint curriculum and joint degree accreditation, of which Japanese universities have little experience. The difficulty in developing a joint degree programme was also recognised by the Monash Warwick Alliance. Early on, they focused on a joint undergraduate degree programme with limited resources, but it was found to be too challenging in the environment at that time and they changed the education strategy to start from more feasible educational activities. Based on the accumulated experience of various educational activities, they refocused on it and developed a joint undergraduate degree programme by integrating the joint degree course content into existing degree programmes. Considering the present circumstances of Japanese universities that they are demanded to develop partnerships with overseas universities in both education and research, how to develop, implement, and manage international partnerships is of great importance to Japanese universities.

This study looked at the management approach of two types of international university partnerships: a partial and task-specific double degree partnership, which Japanese universities are familiar with, and a comprehensive and organised strategic alliance that involves the various departments, offices, and institutions (organs) of the partnering universities. For a partial and task-specific double degree partnership, two faculties in Kyushu University were studied as sample cases of Japanese universities engaged with international educational partnerships as were the two overseas universities collaborating with those two faculties in a DDP partnership. The Monash Warwick Alliance was studied as an example of a comprehensive and organised strategic alliance and as an evolved model of an international university partnership.

This empirical study revealed that the two universities participating in a comprehensive and organised strategic alliance, namely Monash University and the University of Warwick, realise a phase- and principle-based management model in their management structure and processes and show organisational characteristics of Quadrant D in the Davies's matrix (Chapter 2.3.3). Organisations in Quadrant D can take systematic and highly centralised approach to internationalisation in policy formation and institutionalisation of the policies. By contrast, Kyushu University, representing Japanese universities, is engaged with considerable amount of international business in not only education but research collaboration, but seems to

remain in Quadrant C, where internationalism is highly central to their work and mission (Davies 1995, p.15) but management structures and processes for international business are still designed and implemented in an ad hoc manner. This means that their management structures and processes need to become more systematic and mature in order to reach Quadrant D.

Then what do they need to do in order to improve their management structures and processes? To answer the question, the real practices identified in the overseas universities in the DDP partnerships and the Monash Warwick Alliance and the comparison between the two faculties of Kyushu University and the alliance based on the framework of a phase- and principle-based management model can yield a number of implications.

Universities are broadly grouped into three different types: research-focused, education-focused, and both, and this classification can be applied to Japanese universities. A strong research-focused university has different needs from partnerships compared with a predominantly teaching focused partnership, and they are more focusing on joint research partnerships and joint doctorate for educational programmes. Joint research projects are often developed from a researcher's individual network and there are plenty of seeds for such cooperation in a research university. It is obvious that sufficient financial resources are indispensable for individual research collaboration to develop into joint research projects formally recognised by a university.

However, financial resources are not only driver of successful research partnerships. Hagedoorn et al. (2000, p582-583) indicated the rationales why firms participate in research partnerships and many of them are applicable to research partnerships between universities and also between universities and industries. Those rationales are: "broadening the effective scope of activities; increasing efficiency, synergy, and power through the creation of networks; accessing external complementary resources and capabilities to better exploit existing resources and develop sustained competitive advantage; promoting organisational learning, internalising core competencies, and enhancing competitiveness; internalising knowledge spillovers and enhancing the appropriability of research results, while increasing information sharing among partners".

Management of comprehensive research partnerships to realise the rationales described above requires strong leadership and efficient management structures and processes. In this regard, a phase- and principle-based management model and the management practice identified in the comprehensive and organised Monash Warwick Alliance can provide some useful suggestions

to universities in managing not only educational partnerships but research partnerships, as described in the following sections.

Assessment of potential international partners

This empirical study has revealed the importance of learning the partner's organisation and practices at early stages of building a partnership towards establishing a solid foundation. Through learning about each other, partners are able to reach a mutual understanding and demonstrate their own values. Such an approach will provide the partnership with compatible strategies, management structure, and processes and other activities for it to be sustained and grow in the future.

Learning is also important in the preliminary stage of selecting international partners. Selection of the best partner is dependent on the correct assessment of potential candidates. The Monash Warwick Alliance was initiated in top-down fashion through a personal relationship between the vice-chancellors of both universities. However, before making the alliance agreement, there was a process of learning about the potential partner to assess project feasibility and growth potential. Interviewees from the two universities cited the reasons for selecting the partner as follows: the two universities share similar aspirations in research, teaching, and learning; they are similarly involved in cooperation with the commercial sector and in international engagement; they complement each other in their strengths; they are similar in terms of ideas development and research intensity; they have stable leadership; and they have a similar culture.

The example of the Monash Warwick Alliance suggests that successful international partnerships need proper assessment of potential international partners. The assessment criteria include the present scope of and aspirations in education, research, and other related business, the level of organisational maturity, leadership style, and cultural consistency.

Supportive leadership

Leaders in presidents, vice-chancellors and pro-vice-chancellors level play essential roles to initiate partnership and create management structures to implement, institutionalise, and sustain partnerships. Their roles are directly related to the most substantial part of decisions on setting the vision and strategy and implementing partnership activities. Therefore, accountable and effective management attributes are intimately connected to a leader's skills.

Leaders also play a significant role in creating connectivity between people and organisations. With their high level of respect in the field, good relationship skills, and the ability to lead a

group to create common goals and shared vision, they can connect the partnership with the regular administrative organisations of both universities as well as with external organisations. Although it was not empirically demonstrated in the present study, it may be inferred that leaders have to be culturally competent. In that way, they may be able to connect among people and organisations in different countries and cultures. Moreover, leaders' social connections and professional networks make it easy to ensure financial and human resources. In this way, supportive leaders and their backing are essential for the success of a partnership.

The management structure must possess the authority of decision-making and the capability of coordinating and integrating expertise to steer a partnership

It is vital that a strong management structure is created, one that is able to facilitate collaboration among multiple universities, manage the increasing complexity of a partnership, and adapt to changing circumstances. To create such a management structure, first, it is essential to involve senior management and key people such as presidents, vice-presidents, vice-chancellors, pro-vice-chancellors, faculty deans, and the administrative leaders of all member universities in decision-making committees. This structure presents the formal authority of decision making and contributes to making connections and relationships among senior level staff in all parties. In addition, the commitment and championship of the senior management and key staff are important for a partnership to be considered as a priority project. Consequently, this sort of management structure provides clear accountability.

Appointing a person who is responsible for the overall management of a partnership (e.g., the Academic Vice-President of the Monash Warwick Alliance) provides a partnership with clear accountability and an effective steering function. This person should be given sufficient authority by all member universities to make partnership decisions in consultation with a supreme management board. This enables swift decision making and thereby strengthens the steering power of the partnership.

For the smooth and effective management of a partnership, it is essential to create a coordination and facilitation function that bonds the partnership with senior management and key people as well as key departments. This needs to be done formally and informally as the Academic Vice-President and the Project Operations Group have been doing in the Monash Warwick Alliance. Coordination bridging between the alliance and stakeholders is indispensable to generate understanding and collaboration. A coordinating person or team is able to act as an interpreter to explain the purpose and value of the partnership activities to stakeholders, and is a catalyst to integrate people from all parties and make things happen. Furthermore, a coordinating team should consist of people from all partners, and comprise

those with experiences and expertise in international joint projects and the desire to coordinate people. Regarding this point, Japanese universities need to follow a long-range career policy to produce experts and more effective human resource management to put the right person in the right job.

It is also important to have an expert group in the management structure, a group that includes people from all member universities from administration, research, education, and other relevant areas. To initiate and implement joint projects, it is important that experts from all relevant areas get together and explore the values of the parties, determine their needs, and then decide the activities of and roles within the partnership. In the consolidation stage, when problems may arise, the expert group is able to work to find solutions to adapt to the changing circumstances and propose solutions to the decision-making committee.

Human resource management

A targeted human resource management policy is highly important to facilitate the management of a partnership. Effective human resource management is a necessity of all discussions on partnership management. Below is a summary of some effective human resource management practices derived from the empirical study.

It is essential to create a new job/position to manage a partnership and put experts in that job, like Academic Vice-President and Director and Project Operations Group in the Monash Warwick Alliance. Because partnership management requires the management team special skills of challenging new projects and coordinating with internal and external organs in the process of pursuing new projects, it is critical to appoint the people who have the qualities of patience, perseverance, flexible thinking, and communication skills, in addition to expertise.

A long-range career policy to produce experts should be created. At the early stage, it is crucial to have an expert person who is experienced and understands well about the administration of own university, in the leader position. It is helpful to retain experienced people with expertise in a coordinating team to spread the personal knowledge and skill over the team and beyond the team to other existing administrative organs.

It is also essential to have potential research groups participate in a partnership by supporting existing one-to-one research or teaching arrangements between individuals (Fielden 2007, p.44). Any strategic policy should be executed in the selection of the projects with high potential that a partnership will support, but the policy should be open and well communicated over the academic community so that it may gain a better understanding of regular academics.

Any incentive system should be developed to provide people engaged with a partnership with incentives such as promotion, pay raise, exemption from duties other than partnership management, etc. to encourage them to engage actively in partnership activities.

Communication and information strategies

Senior management, key academics, and administrators from all parties should be involved in the core management. This contributes to enhancing the openness of the partnership to share information and expertise among its wider stakeholders from all parties. Personal networks of those key players represent another effective dissemination tool. Coordinators make personal networks across the universities and the information is spread through this channel.

Disseminating information on partnership activities across the member universities through regular e-mail updates, web news, and other tools could contribute to increasing the number of supporters of the partnership.

Enhancing and institutionalising learning

A partnership management structure should have joint working teams composed of people from all parties to work for the common project in various areas of university business. It was identified in the Monash Warwick Alliance that learning capacity, both individual and institutional, was further enhanced in that people from different universities work together for a common project, by not only gathering expertise but also in overcoming difficulties.

It is essential to have efficient human resource management to retain experienced people with expertise in a coordinating team as mentioned before. Important learning arising partnership experiences such as partnership know-how can be accumulated in personal memories. Learning also needs to be institutionalised through documentation for future consultation.

Quality and performance review

A solid quality and performance review should be developed. Quality and performance review processes on a project's impact and achievements are essential to sustain a partnership. A review process can reveal what was successful and what was not, and what needs to be improved. A review process is particularly essential when a partnership decides to go forward with a project in a new life cycle and in a new dimension (Chapter 7.3). Based on the review results, the partnership can decide the best development plans (e.g., necessary changes and new initiatives) for the future of the enterprise.

Ascending maturity level to become a comprehensive and organised strategic alliance

Universities should seize the opportunities of international partnerships and have internal organs and staff participate in working with the counterpart organs and staff. This will increase opportunities for both institutional and personal learning. In an international partnership, learning occurs through collaborative processes including getting to know each other, working together for innovative initiatives, overcoming and integrating the differences of institutional systems and cultures, and managing crises. The Monash Warwick Alliance is a unique, innovative, and comprehensive partnership, and therefore the alliance has more experiences in confronting various difficulties in the process of managing its activities and finding adaptable solutions than the partial and task-specific DDP partnerships. Learning is generated from varied experiences at both institutional and personal levels. As learning increases, the maturity of the partnership can also increase. In other words, as its management competence increases, a partnership's systematisation and sophistication can mature.

A strong management exercising accountability, transparency, learning capacity, and coordination is able to facilitate a successful international partnership. It is identified in this study, though derived from just a limited number of cases, such management demonstrates a high level of maturity (Chapter 6.3.6). Demonstrating clear accountability to stakeholders is equally important in stable management. A partnership equipped with such strong management structures and processes is able to provide a sufficient level of systematisation and sophistication to develop a wider scope of activities and to manage the complexity of a partnership with expanding activities and partners.

It is also important to increase the maturity level of the internal organs of a university. If the internal organs, which will be engaged in a partnership, possess appropriate management competence, then this increases the likelihood of the success of an international partnership jointly developed by such universities.

Creating an entrepreneurial culture

This study assumes that universities with an entrepreneurial nature are capable of developing challenging initiatives such as a comprehensive international partnership. An entrepreneurial culture and preparedness for international partnership development are reciprocal and mutually affecting, and the success of an international partnership is normally underpinned by an entrepreneurial culture (Chapter 7.4). Management competence with a higher level of maturity is also more likely to be developed in entrepreneurial universities. Entrepreneurial characteristics embrace the impetus to change, willingness to invest in new fields, and the willingness to explore new ways of more effectively exploiting these new fields.

Entrepreneurial universities are able to learn from experience and transfer learning mechanisms and processes across the university. They can also create genuine management structures and highly systematised processes to explore new possibilities and implement comprehensive entrepreneurial activities. Such structures are not too rigid and relatively loose in operational control to facilitate individual creativity (Davies 2001, p.28).

Moreover, entrepreneurial universities could generate new knowledge and wisdom from accumulated learning, thereby realising a process of innovation while empowering the university. Thus, creating an entrepreneurial culture within a university is essential for the success of a comprehensive international partnership. Moreover, with an entrepreneurial spirit, Japanese universities could devise and implement internationalisation strategies unique to their situation and circumstances, focusing on the 'added value' of their education and research, which may differ from that in the English-speaking world.

All suggestions to improve management practice provided above in this section are worth considering for Japanese universities to become entrepreneurial universities. In particular, strong and visionary leadership with long-range strategic planning ability is absolutely necessary for the growth of more entrepreneurial universities. To steer innovative initiatives, including international partnerships, it is vital to construct a strong management team that is capable to implement effective strategies of human resource, communication and information, as well as quality assurance. Through the practices of initiating and implementing innovative projects, a university can institutionalise learning, and the maturity level can ascend. Practices play important roles in creating an entrepreneurial culture. "Strong cultures are rooted in strong practices" (Clark 1998, p.7).

In addition, this study recommends that Japanese universities adopt a 'flatter' management structure and facilitate open and inclusive communication between the senior management and constituent members of the university. There was a noteworthy mention about university's entrepreneurial culture in the interview, specifically that "entrepreneurship should be an attitude of mind." All interviewees from the University of Warwick said, "the university has the attitude that they would be allowed and supported to try it, if people come with the good idea that is potential to merit the university." This open and proactive attitude attributes to the university's very flat organisational structure, particularly in the relationship between department heads and the senior university management team. Not only department heads and senior management, but all people in the university, operate within very flat structures. Anybody even near the bottom of the hierarchy is encouraged to propose his/her ideas, because an attitude to accept new ideas permeates throughout the university. A 'best ideas win'

culture seems to prevail. Moreover, the flat and open structure contributes to much shorter lines of communication. Staff need not go through an elaborate and large-scale bureaucracy, and they can move fast in the pursuit of new opportunities.

Another remarkable feature of entrepreneurial universities is that they can think and operate more independently and self-reliantly. One interviewee said, “the University of Warwick has a history of thinking independently from the government, and ensuring that it stands on own two feet.” Regarding the issue of thinking independently, the University of Warwick could develop its unique management practice in their own way.

This thesis legitimately infers that some other mechanisms exist that can create and sustain an entrepreneurial culture for universities; however, they were not explicitly linked to the findings of this study. Those mechanisms are as follows.

An effective financial strategy, including the generation of non-governmental independent funds and reviewing the cost-effectiveness of investment, is requisite to becoming an entrepreneurial university. In the case of the University of Warwick, owing to the particular funding challenges in the UK, the university is constantly obliged to explore new resource possibilities. It is also important for it to ensure that its investment produces the best performance with currently available resources. With respect to funding for the Monash Warwick Alliance, both universities agreed to share the costs, but they also made additional efforts to secure external resources.

An effective marketing strategy is another requisite. In the present world of global competition in various areas (e.g., student recruitment, research grants, academic rankings, and external funding), universities need to apply a marketing approach.

Entrepreneurial universities are increasingly active in the commercialisation of research results (Huyghe and Knockaert 2016, p.4), and they are interested in developing the fruits of their research into business ventures. With the rise in academic entrepreneurship, universities need to be conversant in intellectual property law and organise an intellectual property system. At the same time, introducing a reward system that values entrepreneurial activities would be helpful to encourage researchers’ spin-off intentions (ibid., p.20).

7.8 Implications for the Japanese Government

This section makes some recommendations for the Japanese government from the perspective of a practitioner who is engaged in international relations at a Japanese university. Those recommendations are not explicitly linked to the findings of this study; they derive from the author's experience of working at a Japanese university and the knowledge about Japanese higher education acquired through that experience. The author hopes that those recommendations may act as a catalyst for improving the internationalisation policy of Japanese higher education, thereby providing the best environment for Japanese universities to develop optimum management practices towards establishing comprehensive and strategic international alliances and an enhanced entrepreneurial culture.

Chapter 3 discussed issues and problems on Japanese higher education policy and pointed out that the Japanese universities are entangled by the quantitative targets set by MEXT, namely more international student enrolments, more domestic students going abroad, more international teaching staff employment, more courses taught in English, and higher position in the world rankings. Development of intercultural competence of students and staff is recognised generally worldwide as a vital element to improve the quality of higher education (Knight 2004; 2012; de Wit & Merckx 2012), and a pillar of human resource development. Japanese universities are also becoming aware of the importance of intercultural competence. However, it seems that most Japanese universities, especially those which are receiving a national competitive fund for internationalisation, are largely interested in the quantitative targets, and there exists a considerable degree of ignorance about the real meaning of intercultural development and practical ideas on how to enhance intercultural competence. Japanese universities need to rethink the internationalisation policy and work on developing more realistic strategies to improve the quality of education and research in Japanese higher education.

As government policy is always significant in influencing university policy and strategies, MEXT should consider a more realistic internationalisation policy for Japanese higher education, not stressing too much on quantitative goals, but instead utilising the real value of Japanese universities. In other words, the emphasis should be placed on what makes Japanese universities different from universities in the English-speaking world (Kariya 2014). For this kind of more realistic internationalisation, this thesis would like to make some practical suggestions to the Japanese government as follows.

First, MEXT should encourage Japanese universities to pursue internationalisation strategies

with their own ideas, including development of comprehensive international partnerships as a core activity of internationalisation. However, it is not under a government's initiative that regulates all details of activities and imposing quantitative duties, but MEXT should allow universities a much greater degree of autonomy in *what* and *how* they manage their internationalisation. Doing education and research is the university's fundamental function, and the people working for a university should have a better understanding what and how to do it. Furthermore, a university has a much better understanding of their own university's internationalisation policy and strategies, as well as the potential and limitations. Therefore, only universities themselves are able to develop and implement realistic and effective internationalisation strategies that can contribute to genuine internationalisation.

Second, the emergence of an entrepreneurial culture within Japanese universities is expected from university-driven internationalisation. For university-driven internationalisation, the whole university as a united force needs to work with a shared and original idea to implement new initiatives and improve their management practice. With the experience to achieve such challenging initiatives, they can enhance their learning capacities and thereby foster a more entrepreneurial university culture.

Third, MEXT should setup outcome-based targets instead of quantitative targets, and develop outcome-based indicators to evaluate degree of internationalisation of Japanese universities. Though internationalisation policy and strategies could be at each university's discretion, the government needs to maintain the supervisory role of ensuring the quality of Japanese higher education. Outcomes are the end results of internationalisation activities related to the strategic internationalisation goals of universities and refer to the competencies of graduates, the quality of education programmes and research, financial benefits, benefits to the wider community or increased reputation (Beerkens et al. 2010, p.16). However, measures of outcomes are the most challenging data to gather (Green 2012, p.5), and Japanese universities do not have much experience of handling such outcome-based indicators. MEXT should support Japanese universities to develop such indicators to evaluate outcomes of their international activities, collaborating with foreign governments and organisations that are more advanced in this field, such as the 'tuning project' in Europe.

Finally, providing targeted funds to enhance universities' internationalisation including development of comprehensive international partnerships is a crucial role for government. Those funds can be granted in competition base, but practical strategies for what and how to spend the funds should leave to universities. This issue of a large degree of universities' discretion was discussed above. With freedom of budget spending, universities can inject

necessary budget into their focused business that they think truly necessary to enhance their academic quality. Given the present circumstances, it doesn't seem that national funds for internationalisation are currently being effectively spent for internationalising Japanese universities.

Taking the Kyushu University's case of the Project for Establishing Core Universities for Internationalisation (Global 30) as an example, a major portion of the grant was spent for the employment of teaching and administrative staff under limited-term contracts. Those fixed-term teaching staff were employed to teach courses in English and administrative staff to manage the newly developed programmes accepting international students. The university spent most of the budget for limited-term employment, because they needed to increase the number of courses taught in English and enrolment of international students to contribute to achieving the MEXT's quantitative targets within a limited time frame. The quantitative target of 300,000 international student enrolment needs to be achieved by 2020.

However, it does not benefit universities to owe a large part of the practical work of new projects to such limited-term employees, because any learning gained through implementing the challenging projects stays only with the individual and hardly creates opportunities for institutional learning. This problem is even more serious in the case of administrative staff. There are a few regular administrative staff engaged with new projects, but they move to other positions in 3 to 4 years, according to the custom of personnel reshuffling. Expertise is hardly developed in administrative staff. For research also, large results cannot be expected within the framework of limited-term arrangements.

Japanese universities should be released from the chains of quantitative goals. With the freedom to develop their own internationalisation strategies, they can consider what they need to do in order to truly contribute to the internationalisation and enhancement of academic quality of their universities and Japanese higher education. Through implementing their own innovative initiatives, Japanese universities would be better placed to increase learning and enhance expertise, and thereby become a more entrepreneurial university. Strong leadership to steer innovation is absolutely imperative. MEXT is expected to take measures to support Japanese universities to promote internationalisation in their own way.

7.9 Contribution to the Literature

This thesis contributes to the literature in the following ways. First, it proposes a phase- and

principle-based management model for successful international partnerships. This study recognises that an international university partnership is an organic and dynamic phenomenon. This thesis introduces Davies's concepts of a partnership life cycle, evolution of maturity, and increasing complexity and enhancing capacity in managing the complexity to the discussions about the management approach for an international partnership. This study proposes that the maturity level can evolve from its development stage through to the growth and consolidation stages; the level of operational maturity is catalysed as learning capacity increases; a partnership with high-level operational maturity is able to control organisational complexity and adapt to changing circumstances; such a partnership is most likely to produce further growth, evolve, and thus becomes successful. As a theoretical framework to represent this hypothesis, this study introduces a phase- and principle-based management model for successful international partnerships (Figure 9).

This theoretical framework synthesises two ideas: three essential phases and three critical principles of successful partnership management. The three essential phases are building a partnership, consolidation and catalysing maturity, and maintaining a positive cycle between growth and consolidation. This idea of the three essential phases integrates Davies's three source concepts. The other idea of the three critical principles (accountability, transparency, and learning capacity) was adapted from success factors identified in previous studies. The author's experience and learning as a practitioner worked as a filter to integrate those source concepts. The theoretical framework of a phase- and principle-based management model for successful international partnerships is, therefore, a synthesis of existing works and further developed into a multi-faceted theory. This model was empirically tested to demonstrate its validity.

Second, based on the empirical evidence that arose in testing the phase- and principle-based management model, this study has produced an innovative expansion model; that model demonstrates a more developed positive cycle of international partnerships, allowing them to make innovative and dynamic expansion. It is a multi-dimensional positive cycle (Figure 13). The more developed positive cycle takes place in a new dimension that occurs between the development and consolidation stages—instead of between growth and consolidation. The concept behind the model is as follows: initiatives go through growth to reach consolidation in the first cycle; they enter a new dimensional cycle, from development to consolidation, and undergo significant changes; partnerships could gain further learning as they evolve into a new dimensional cycle. Learning is a consequential output of the innovative expansion model. Thus, this thesis presents conceptual development beyond the initial model.

Third, this empirical study has revealed that key individuals play the roles of change agents to catalyse the changing processes in the setting up and successful operation of international partnerships, and the generation of institutional cultures to support these. In addition to a supportive senior management group, a partnership should have a competent manager who is responsible for all aspects of the business; an expert should be assigned to that position. For effective planning and coordination among the stakeholders, the manager works with a support group of people, who are assigned from each partner. Those individuals should be experts in university business and should have the qualities of patience, perseverance, flexible thinking, and communication skills. In the case of the Monash and Warwick Alliance, there is the Academic Vice-President and the Director of the Alliance and Project Operations Group. Through coordination by the Vice-President and Director and Project Operations Group members, people from different organs of the two universities are able to work together. This provides an environment of knowledge and learning being transferred, and institutional learning increases as a result.

Individual competence is linked directly with expansion and retention of institutional competence. Thus, a long-range career policy and effective management system should be developed to produce and retain experts and to enhance the transfer of learning and knowledge over existing administrative organs of a university. An incentive system needs to be developed to encourage people to engage actively in partnership activities and maintain their motivation.

Fourth, this thesis studied entrepreneurial universities by adopting a stance that entrepreneurialism concerns responsiveness to societal needs and demands in a proactive way in an environment of uncertainty and complexity; this is different from a narrow focus on the commercialisation of education and research. Responsiveness in this context is the motive to implement all activities in an innovative and creative way, which is different from a commercial motive. International partnerships are recognised by many universities as a key element in their long-term internationalisation strategies with respect to the challenges of globalisation and changing environment; such partnerships represent a response to increasing societal needs and demands of internationally competent education and research. Consequently, entrepreneurial universities are most likely to achieve successful international partnership development.

Thus, this thesis introduced the reciprocal relationship between the entrepreneurialism of universities and capability of developing and sustaining partnerships in the discussion on a successful international partnership. Through a literature review on entrepreneurial universities and the empirical study on the Monash Warwick Alliance, as an example of an

existing comprehensive and organised strategic alliance, this thesis concludes that the success of international partnerships is underpinned by an entrepreneurial culture. The more comprehensive and complex a partnership becomes, the more an entrepreneurial culture is required for managing such partnership. There is scant amount of empirical study on the correlation between entrepreneurial culture and partnership management and this thesis contributes to a more detailed discussion on their synergic relationship, which can also help existing universities to develop more practical strategies.

Finally, one of the aims of this thesis is to provide a number of recommendations to assist Japanese universities advance their international partnerships and promote the overall internationalisation of Japanese universities; this is based on a study of a comprehensive and organised strategic alliance. At present, a DDP partnership is the most popular type of international partnership for Japanese universities. However, that is a basic type of partnership; there are partial and specific tasks related to the DDP, and there is plenty of room for development. Considering the complexity of an advanced, comprehensive and organised strategic alliance with a wide range of scope, involving wide range of stakeholders and multiple universities with different institutional cultures in different countries, developing such partnerships is not easy for Japanese universities.

However, such partnerships can generate real multinational interactions in Japanese universities and open them up to the rest of the world. Moreover, the whole process of developing and managing more advanced, comprehensive international partnerships can be an effective tool to increase both individual and institutional learning as well as generate the entrepreneurial spirit of universities. The favourable impact of developing such international partnerships is so great that it will enhance the international competence of the individuals involved—students, academic and administrative staff, and others. Consequently, overall institutional competence can be improved.

Japanese universities have little experience in developing comprehensive international partnerships; there are many aspects such institutions do not understand about managing such partnerships. In particular, actual management practices are of great importance to the success or failure of a project. From this perspective, through empirical study, the present thesis has identified what practices existing international partnerships are actually implementing. Based on its findings, this thesis provides suggestions that people in management and senior management at Japanese universities may refer to so that they can improve practices and discover workable solutions.

7.10 Implications for the Professional Development of the Researcher

The author is a practitioner-researcher working at a public university in Japan. She has been engaged in international relations for her university; her responsibilities have included working as international conference secretary and international academic institution secretary as well as coordinator for student mobility and staff development programmes. Therefore, she has long-term experience of working with overseas universities, and that experience has left a deep impression on her. She became keenly interested in what makes international partnerships work. More specifically, she developed an interest in the type of functioning management mechanisms in existing comprehensive international partnerships, which is an area where most Japanese universities lack experience. The author wanted to identify the improvements that the relevant people believe possible with respect to the management mechanisms. Many studies have been conducted about international partnerships in higher education, and a number of success factors have been indicated in the literature. Through her own experience, the author understands the importance of such success factors. As a result of this understanding, her interest is now more on the actual practices affected by these success factors. Accordingly, she developed a theoretical framework for successful international partnerships based on a literature review, and she conducted an empirical study under that framework.

Through her empirical study, the author understands the practices that existing partnerships are actually implementing to manage their international partnerships and the principles embedded in those practices. The author acknowledges that there could be other practices and principles that this study did not identify owing to its limited scope; however, this study has produced significant findings, and they contribute to the author's professional practice and personal development. All the findings derived from this study are beneficial to the author as a practitioner-researcher in planning and implementing practical methods; they are beneficial in both developing a comprehensive and strategic international alliance and improving present general management practices at her university. Improving general management practices includes creating an entrepreneurial culture at the university.

To improve the quality of management, strong and supportive leadership is doubtlessly important. Leaders have to employ effective management practices that demonstrate accountability, enhance transparency, and take advantage of learning capacity. Leaders have the responsibility of clarifying the university's policy and strategies to stakeholders. To gain the understanding and collaboration of stakeholders, that clarification needs to be legitimate. At the same time, leaders should be open to criticism and new ideas from stakeholders and

support bottom-up innovation. Efficient and legitimate human resource management is required to retain expertise, enhance institutional and individual learning, and maintain the interest and motivation of stakeholders. Those are just some of the practices. Chapter 7.7 suggests further practices that Japanese universities should develop.

The university for which the author presently works is a small public university with an enrolment of 1,100 students and 130 academic and administrative employees. As a public university established by a local government, the university relies largely on local government funding (52.8% of revenue in fiscal 2017–2018). Human resources in its administration are also dependent on the local government: 90% of the management staff are on loan from local government offices for a maximum of 3 years. More than half of its administrative staff are employed under limited-term contracts for a maximum of 5 years. The present situation with this university is a far remove from an entrepreneurial university that is able to develop various activities using original ideas and independent funding as well as utilise, retain, and increase both individual and institutional learning. Many steps could be taken to improve the quality of management at the author's university. The implications of the present thesis have inspired the author to work to improve management practice at her university so that it may become capable of developing comprehensive international partnerships and creating an entrepreneurial culture.

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Appendix 1. **Monash Warwick Alliance Governance Structures**

Chart 1. Monash Warwick Alliance Governance Structure (Original)

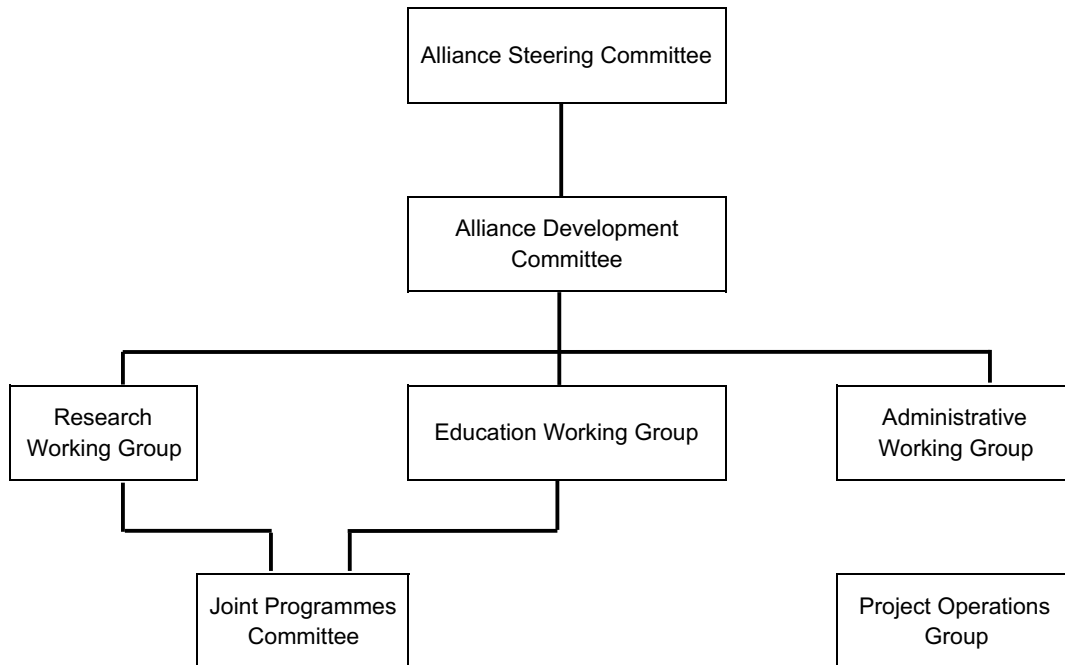
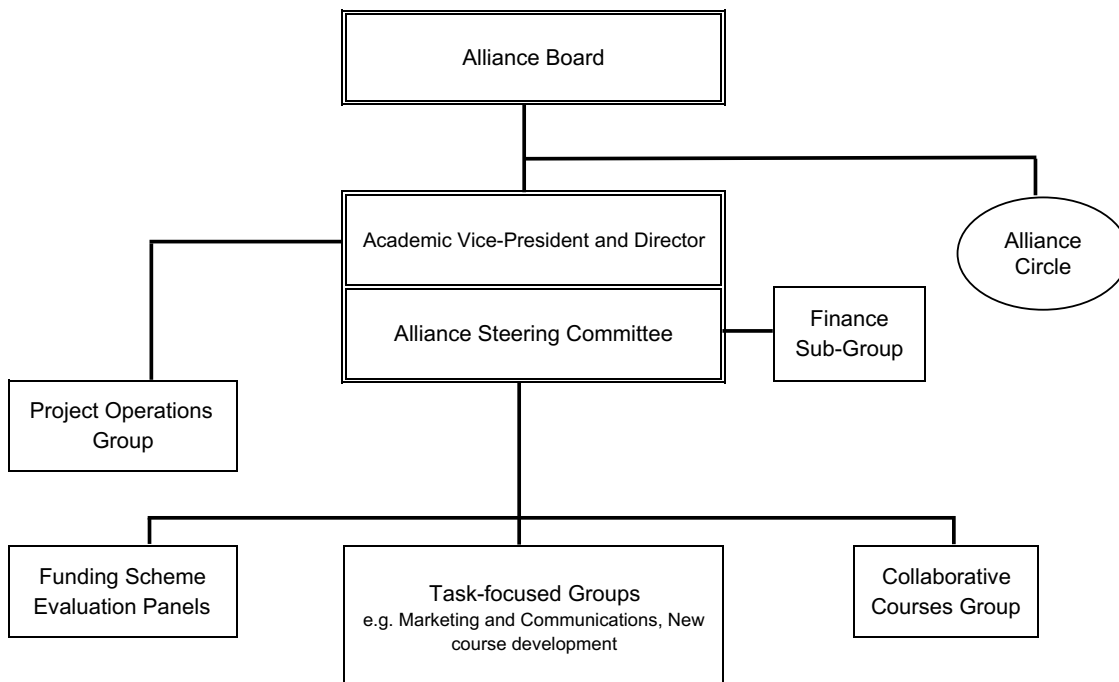


Chart 2. Monash Warwick Alliance Governance Structure (after 2012)



Appendix 2

Interview Plan

I. Interview Participants

I would like to interview three people (or more if needed) who have been working for the partnership since its development stage and who are well acquainted with the details of the partnership. These people can be:

1. An executive and senior level administrator who is responsible for the partnership as well as the internationalization of the university, and has been involved in decision making;
2. An academic who is responsible for carrying out collaborative activities in a leading position; and
3. A head or senior management level administrator in the office or unit engaged in the practical implementation of the alliance.

II. Documentation Data Collection

If available, I would like to collect documentation data, details of which are outlined below, to determine the aspirations of the partnership, the range and scope of activities, stakeholders, and the organisational configuration for implementing the collaborative activities. The requested documentation includes the following topics:

1. The university's vision on constructing the partnership: rationales and strategies of the partnership;
2. Information about the stakeholders of the partnership: academics, students, administrative staff, and/or others;
3. Information about the range of activities: research collaboration, education collaboration, industry-university collaboration, collaboration with community, and/or others;
4. Information about the organisational configuration, roles and staffing of each component;
5. Information about financing;
6. Reports of self-evaluation and other evaluations by the partnership's stakeholders; and
7. Any other documentations relating to the alliance.

III. Interview Time

Each interview is expected to take about 1 hour, or 1.5 hours at the most.

IV. Informed Consent Letter

I will provide an informed consent letter for interview participants to provide them with the necessary information beforehand and to obtain their consent to participate in the interview.

V. Recording

I would like to record and transcribe the interview. Thus, I would be most grateful if you would consent for me to do so.

Appendix 3

Informed Consent for DBA Project (KU Leuven, Lund University, and Kyushu University)

Dear interview respondents,

I am a doctoral student at the School of Management at the University of Bath. I would like to invite you to participate in doctoral research for my thesis. The research has been approved by the Board of Studies of the University of Bath. My research project explores the management structures and processes that are most likely to result in the success of international partnerships between universities.

This will involve one interview and e-mail communication during, before, and the after the approved access period. It is expected that the interviews will last 1–1.5 hours at most. I can undertake the interview at a time and place that is convenient for you and I will record and transcribe the interview.

All data will be treated with the utmost respect and will be stored securely. However, information about the project, including interview data, will be shared with my thesis supervisor and other appropriate staff at the University of Bath.

The information you provide will be treated as confidential and will be anonymised. However, anonymised direct quotes from my interview can be used in publications and presentations arising from this study.

I appreciate you giving your time to participate in this study and if you have questions please do not hesitate to contact me. Thank you very much.

Yours sincerely,
Yoshie Takahara

Respondent:

Signature _____

Print name _____

Date _____

Informed Consent for DBA Project
(Monash Warwick Alliance)

Dear interview respondents,

I am a doctoral student at the School of Management at the University of Bath. I would like to invite you to participate in doctoral research for my thesis. The research has been approved by the Board of Studies of the University of Bath. My research project explores the management structures and processes that are most likely to result in the success of international partnerships between universities.

This will involve one interview and e-mail communication during, before, and the after the approved access period. It is expected that the interviews will last 1–1.5 hours at most. E-mail communication will be made primarily through the contact person of the Monash–Warwick Project Operations Group based at Monash and restricted to reasonable levels. I can undertake the interview at a time and place that is convenient for you and I will record and transcribe the interview.

All data will be treated with the utmost respect and will be stored securely. However, information about the project, including interview data, will be shared with my thesis supervisor and other appropriate staff at the University of Bath.

The information you provide will be treated as confidential and will be anonymised. However, anonymised direct quotes from my interview can be used in publications and presentations arising from this study.

I will provide a first and final draft of any report or outcome of the research, together with a copy of the thesis for each university upon completion, for the review and comment from the Warwick–Monash Project Team. I also give consent for the Monash Warwick Alliance to use any material produced by my research work.

I appreciate you giving your time to participate in this study and if you have questions please do not hesitate to contact me. Thank you very much.

Yours sincerely,
Yoshie Takahara

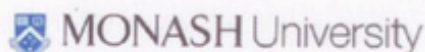
Respondent:

Signature: _____

Print name: _____

Date: _____

Appendix 4. Confidentiality Agreement



Confidentiality Agreement (One-way)

THIS AGREEMENT is made on the _____ day of _____ 201_

PARTIES	
Monash	Monash University (ABN 12 377 614 012), a body corporate constituted in accordance with the <i>Monash University Act 2009</i> (Vic) [REDACTED]
Recipient	Yoshie Takahara, doctoral candidate for a Doctorate of Business Administration (the 'Studies') at the University of Bath, of [REDACTED]
DETAILS	
Effective Date	The date this Agreement is signed by the last party
Disclosed Information	Information regarding the Monash Warwick Alliance and shall include the recording of semi-structured interviews and post-interview surveys with executive and senior-level administrators responsible for internationalisation activities, together with documents authored by Monash.
Purpose	<p>The Recipient is enrolled as a doctoral candidate in the Doctor of Business Administration in Higher Education Management programme at the University of Bath and wishes to undertake a study on the Monash Warwick Alliance (the "Alliance") as part of her Studies on innovative university alliances. The purpose of this Agreement is to facilitate the collection of data about the Alliance to provide a case study for her doctoral thesis. Whereas this Agreement shall enable Monash to disclose confidential information regarding the Alliance, any information deemed sensitive may be withheld.</p> <p>This Agreement forms part of the understanding between the Recipient and Monash. The Recipient is required to have a separate Agreement with Warwick University, subject to Warwick University's own terms and conditions. Nothing in this Agreement shall entitle the Recipient to any privileged information from Warwick University.</p>

BACKGROUND

Monash has agreed to disclose information, including Confidential Information, to the Recipient for the Purpose, subject to the terms and conditions of this Agreement.

IN CONSIDERATION OF THE MUTUAL PROMISES AND COVENANTS CONTAINED IN THIS AGREEMENT, IT IS AGREED AS FOLLOWS:

1. Definitions

Confidential Information means information, in any form, that is, by its nature, confidential, is designated by Monash as confidential, and/or which the Recipient knows, or ought to know, is confidential, and includes:

- the Disclosed Information (if any);
- any intellectual property;
- any and all business, financial, technical, scientific, educational or other commercially valuable or sensitive information of Monash;

- (d) all information created, ascertained, discovered or derived directly or indirectly from the Confidential Information;
- but excludes (or ceases to include) information which:
 - (e) is or becomes public knowledge other than by breach of this Agreement;
 - (f) the Recipient can prove by prior written record was in the possession of the Recipient without restriction in relation to disclosure before the date of receipt from Monash;
 - (g) is provided to the Recipient by a third party after the Effective Date, lawfully and without violating any obligation of confidence of Monash;
 - (h) has been independently developed by the Recipient.

Material means any notes, paper, article, manuscript, report, poster, internet posting, presentation, slides, abstract, outline or thesis resulting from the Recipient's research into the Alliance.

Personal Information means personal information as defined in the *Privacy and Data Protection Act 2014* (Vic).

2. Confidentiality Obligations

2.1. The Recipient must:

- (a) keep and maintain the confidentiality of all Confidential Information and not disclose any of the Confidential Information except as permitted under this Agreement.
- (b) only use the Confidential Information for the Purpose;
- (c) only disclose the Confidential Information to its employees or agents who need to have access to the information for the Purpose;
- (d) ensure that all employees or agents to whom Confidential Information is disclosed in accordance with clause 2.1(c) are legally bound to keep the Confidential Information confidential and not to use the Confidential Information except for the Purpose; and
- (e) not cause or allow any Confidential Information to be copied, reproduced or recorded in any manner without the prior written consent of Monash; and
- (f) maintain effective security measures to protect the Confidential Information from unauthorised access, use, copying or disclosure; and
- (g) handle Personal Information in accordance with the Information Privacy Principles in the *Privacy and Data Protection Act 2014* (Vic) and any code of practice made under these Acts. The obligations under this paragraph apply to all Personal Information which the Recipient receives from Monash for any reason, whether directly or indirectly or receives, creates or holds in connection with this Agreement.

2.2. This Agreement does not grant the Recipient any rights or interests in the Confidential Information, except as expressly provided in this Agreement.

2.3. The Recipient acknowledges that Monash owns all intellectual property rights in the Confidential Information.

2.4. The Recipient must immediately notify Monash of any potential, suspected, or actual unauthorised disclosure or use of any Confidential Information, or any breach of this Agreement, and must take all steps which Monash may reasonably require to protect its Confidential Information.

2.5. At the conclusion of the Purpose or upon written request by Monash at any time, the Recipient must, at its expense, immediately return or, at the election of Monash, destroy all documents and other materials which contain or refer to any Confidential Information, including any copies of such documents or materials. The Recipient may retain one copy of the Confidential Information solely for record keeping purposes to the extent required by any applicable laws.

- 2.6. The Recipient may disclose Confidential Information if required by law provided that the Recipient:
- (a) takes all reasonably available legal measures to avoid such disclosure; and
 - (b) notifies Monash as soon as practicable, so that Monash may seek an appropriate protective order or other remedy (or seek to prevent such disclosure).
- 2.7. The Confidential Information is disclosed to the Recipient in good faith, but Monash does not make any representation or give any warranty (express or implied) or assurance in relation to the Confidential Information, including, without limitation, as to its accuracy, relevance, usefulness or completeness.
- 2.8. The Recipient acknowledges that:
- (a) Monash accepts no responsibility for any interpretation, opinion or conclusion that the Recipient may form as a result of examining the Confidential Information;
 - (b) it is making an independent evaluation of the Confidential Information of Monash and that it must independently verify all information upon which it intends to rely to its own satisfaction.
- 2.9. The Recipient agrees to indemnify Monash against all liabilities, losses, claims, costs and expenses incurred by Monash arising from any breach of this Agreement by the Recipient or any act or omission by any person to whom Confidential Information is disclosed under this Agreement which would, if done by the Recipient, be a breach of this Agreement.
- 2.10. The obligations under this Agreement survive expiration or termination of this Agreement.

3. Limited Licence and Publication

- 3.1. The Recipient may publish, or submit for examination, the Material after providing Monash with a thirty (30) day period in which to review the Material to identify any inaccuracies and any disclosure of Confidential Information.
- 3.2. Where the proposed Material contains Confidential Information or inaccuracies, Monash may require:
- (a) the Recipient to amend the proposed Material so as not to contain/correct that information; and/or
 - (b) arrangements to be made for examiners to enter into an agreement to protect any Confidential Information which are contained in the Material. The arrangement may also include restriction on the Material being accessible to general library users for a period of up to 12 months.
- 3.3. The Recipient grants to Monash a non-exclusive, irrevocable, perpetual, free, worldwide licence to use, reproduce, communicate, adapt and exploit the Material for its internal purposes.

4. General

- 4.1. The Recipient agrees that monetary remedies may not be an adequate remedy for any breach of this Agreement and that, in addition to any other remedy available, Monash will be entitled to seek remedies of injunction and other equitable relief for any threatened or actual breach of this Agreement and to compel specific performance of this Agreement.
- 4.2. This Agreement may be executed in any number of counterparts, all of which taken together constitute one agreement. Each party may communicate its execution of this Agreement by successfully transmitting an executed copy of this Agreement by email to the other party.
- 4.3. This Agreement is governed by and is to be construed in accordance with the laws of Victoria. The parties irrevocably and unconditionally submit to the exclusive jurisdiction of the courts

of Victoria and all courts which have jurisdiction to hear appeals from them, and waive any right to object to proceedings being brought in those courts.

- 4.4. This Agreement contains the entire understanding between the parties with regard to the subject matter of this Agreement. All previous agreements, representations, warranties, explanations and commitments, express or implied, are superseded by this Agreement and have no effect.
- 4.5. Each person signing this Agreement on behalf of a party warrants that they have the full authority to sign it on behalf of that party and that they have had no notice of revocation of that authority.

EXECUTED as an Agreement

SIGNED for and on behalf of **MONASH UNIVERSITY**
by its authorised officer in the presence of:

K Reid
(signature of witness)

Kylie Reid
(name of witness)

19/10/15
(date)

[Signature]
(signature of authorised officer)
Sean Moohan
Director
Contracts Management Office
(name of authorised officer)

(position of authorised officer)

SIGNED by the **RECIPIENT** in the presence of:

Maria Gracita C. Cardinal
(signature of witness)

Maria Gracita C. Cardinal
(name of witness)

16 October 2015
(date)

Yoshie Takahara
(Recipient Signature)

Yoshie Takahara
(Recipient Name)

CONFIDENTIALITY AGREEMENT

THIS AGREEMENT is made on the day on which the last signatory hereto signs this Agreement

BETWEEN

- (1) The University of Warwick, having its administrative office at University House, [REDACTED]
- (2) Yoshie Takahara, doctoral candidate for a Doctorate of Business Administration (the "Studies") at the University of Bath, [REDACTED] (the "Student").

The University has agreed to disclose Confidential Information to the Student solely for the Purpose defined below. The University is willing to disclose such Confidential Information on the basis that it is protected as provided by the terms and conditions set out in Schedule 1, as amended by any Special Conditions agreed by both parties.

The Purpose:

The Student is enrolled as a doctoral candidate in the Doctor of Business Administration in Higher Education Management programme at the University of Bath and wishes to undertake a study on the Monash Warwick Alliance (the "Alliance") as part of her Studies on innovative university alliances. The purpose of this Agreement is to facilitate the collection of data about the Alliance to provide a case study for her doctoral thesis. Whereas this Agreement shall enable the University to disclose confidential information regarding the Alliance, any information deemed sensitive may be withheld.

This Agreement forms part of the understanding between the Student and the University. The Student is required to have a separate Agreement with Monash University, subject to Monash University's own terms and conditions. Nothing in this Agreement shall entitle the Student to any privileged information from Monash University.

The data to be collected includes the recording of semi-structured interviews and surveys with executive and senior-level administrators responsible for internationalisation activities, together with documents authored by the University.

Special Conditions:

In return for the provision of such Confidential Data as may be provided by the University for this Purpose, the Student hereby agrees the following conditions of access:

1. To allow the University the right to review, comment upon and amend any factual inaccuracies in the final draft of any report or outcome of her research prior to submission for assessment and for publication (as the case may be);
2. To provide a copy of her thesis to the University upon completion;
3. To permit the University to use material produced as a result of her research work for its own business purposes

This Agreement together with its Schedules and Appendices constitutes the entire Agreement between the parties.

IN AGREEMENT of the above, each party has signed this Agreement on the date shown below.

SIGNED FOR AND ON BEHALF OF
The University of Warwick

.....
Date: 20 October 2015

SIGNED BY
Yoshie Takahara

.....
Date: 16 October 2015

SCHEDULE 1

1. Interpretation

In this Agreement the following words shall have the following meanings:

- "Confidential Information" means all information disclosed whether orally, in writing or by any other means, including without limitation obtained as a result of any demonstration or being allowed access to any premises where the Disclosing Party may carry on business) which has value by virtue of not being publicly or generally known
- "Disclosing Party" means either party as appropriate where it discloses Confidential Information to the other party.
- "Receiving Party" means either party as appropriate where it receives Confidential Information from the other party.

2. Receiving Party's Obligations

In relation to Confidential Information received from the Disclosing Party or from a third party on behalf of the Disclosing Party, the Receiving Party will:

- 2.1 keep the Confidential Information secret and confidential;
- 2.2 treat the Confidential Information with sufficient protection from unauthorised disclosure;
- 2.3 only disclose the Confidential Information to such of its staff as may need to know the Confidential Information for the Purpose;
- 2.4 use the Confidential Information only for the Purpose; and
- 2.5 not copy or write down any part of the Confidential Information, except as reasonably necessary for the Purpose, without the prior written consent of the Disclosing Party, and should such consent be given the copies will remain at all times the property of the Disclosing Party.
3. If no business relationship is established between the Parties, or if the Disclosing Party requests in writing, the Receiving Party shall:
- 3.1 promptly return or alternatively (at the request of the Disclosing Party) destroy under oath all documents, and copies containing the Confidential Information to the Disclosing Party and permanently delete any such Confidential Information from any electronic storage media or memory;
- 3.2 remain bound by clause 2 above for a period of five (5) years from the date of disclosure of the Confidential Information.

4. Exceptions

- 4.1 The Receiving Party's obligations under this Agreement will not extend to Confidential Information which the Receiving Party can prove:

- 4.1.1 is in or comes into the public domain in any way without breach of this Agreement by the Receiving Party or any person to whom it makes disclosure; or
- 4.1.2 was already in its possession or known to it by being in its use or being recorded in its files prior to receipt from the Disclosing Party under an obligation of confidence; or
- 4.1.3 was independently developed by the Receiving Party without recourse to the Confidential Information; or
- 4.1.4 was obtained from a source other than the Disclosing Party without breach by the Receiving Party or such source of any obligation of confidentiality or non-use; or

- 4.1.5 is disclosed by the Receiving Party with the prior written approval of the Disclosing Party; or
- 4.1.6 is required to be disclosed by the Receiving party pursuant to judicial, administrative or regulatory process or in connection with any inquiry, investigation, action, suit, proceeding or claim.
- 4.2 If the Receiving Party receives a request pursuant to any statutory, legal or regulatory obligation which would or might require it to disclose Confidential Information provided to it by the Disclosing Party it will inform the Disclosing Party of that request and keep the Disclosing Party informed of all significant communications on the subject, and shall not disclose such Confidential Information without either the consent of the Disclosing Party or a direction so to do from the Information Commissioner;
- 4.3 Each of the parties shall be responsible for and primarily liable for any acts or omissions of its associate companies and staff, agents or professional advisers which would have been a breach of this Agreement were it done or omitted to be done by the Receiving Party.
- 5. **General**
- 5.1 Nothing in this Agreement shall confer on any third party any benefit or the right to enforce any provision of this Agreement.
- 5.2 No failure to enforce a right by either party shall constitute a waiver under this Agreement.
- 5.3 Neither party shall assign or transfer any of its rights or obligations under this agreement without the prior written consent of the other party.
- 5.4 This agreement does not grant any right or licence under either party's intellectual property rights.
- 5.5 Notwithstanding that any provision of this Agreement may prove to be illegal or unenforceable, the remaining provisions of this Agreement shall continue in full force and effect.
- 5.6 This Agreement together with its Schedules constitutes the entire understanding between the Parties related to the protection of Confidential Information disclosed under it.
- 5.7 This Agreement shall be governed and construed in all respects in accordance with English law, and the parties agree to submit to the exclusive jurisdiction of the English courts.

Appendix 5

Interview Questions 1

1. Introductory question:

Please describe your position and responsibilities in the partnership.

2. Questions about the development and initiation stage of the alliance and general management structures:

2-1) What were the university's aspirations for developing the partnership?

2-2) Why did you choose E-KU/L-KU/AS-LUL/E-Lund/Monash/Warwick as your partner?

2-3) What position does the partnership occupy in the university's overall policy framework?

2-4) Do you think the partnership influenced the university's internationalisation, and if so, how?

3. Questions about management structures that each university has specifically built to facilitate the partnership:

3-1) What does the management organisation of the partnership look like? What are the roles of each unit/component?

3-2) Please describe the relationship of the units/components.

3-3) Which unit or office are you in? Please describe the function of your office and how it relates to the other units.

3-4) Why did you set up this organisation?

3-5) What do you think are the advantages and disadvantages of this management structure?

3-6) How does the management organisation of the alliance connect to the central administration?

4. Questions about the management practices that each university adopted to facilitate the partnership based on the three essential phases:

4-1) Please describe the main management mechanisms used by the partnership.

4-2) What did you do to institutionalise the partnership into the fabric of your university?

4-3) How do you review progress and quality improvement?

4-4) How do you share objectives with the partnering university? How do you share objectives with other members of the university?

4-5) What are you doing to ensure that all management processes remain effective?

4-6) How do you use your institutional memories and experience for problem solving and improvement?

4-7) When problems arise, how do you identify and solve the problems?

- 4-8) Have you identified any potential instability?
- 4-9) What are you doing to minimise potential instability?
- 4-10) Is there a degree of complexity in the partnership?
[If yes:] How do you control the complexity?
- 5. Questions about the stagnation stage and/or the decay and termination stage:
 - 5-1) Have you experienced any stagnation to date?
[If yes:] How did you manage to overcome these difficulties?
[If no:] Why do you think you have avoided stagnation and decay?
 - 5-2) What do you think is important to avoid stagnation?
- 6. Questions about the life cycle stages that participants consider essential for success:
 - 6-1) At what stage is your partnership currently?
 - 6-2) What stages do you think are the most important for the success of the partnership?
 - 6-3) Why do you think so?
 - 6-4) Regarding the stages you said were important for success, what do you think are the most important practices within the stages?

Interview Questions 2

To Respondents at E-KU, L-KU,
(Japanese Only)

- 1. パートナシップでの役割についてお話しください。
- 2. パートナiership(DDP)開発、開始時とマネジメント構成に関する質問
 - 2.1) DDP 開発の動機、理由はなんですか？
 - 2.2) 研究院全体の教育や国際交流に関する政策のなかでの DDP の位置づけはどのようなもののでしょうか？
 - 2.3) DDP のパートナーは KUL ですが、パートナーとした理由や背景はどのようなものでしょうか？
 - 2.4) この DDP のために、どのようなマネジメントのための組織作りや人員配置を行われましたか？例えば、リーダー、決定のプロセス、主要な担当者の配置、サポート体制などです
 - 2.5) DDP のマネジメント組織と大学全体の組織との関係はどのようなものでしょうか？
- 3. DDP 実施運営のための組織構成についての質問
 - 3.1) DDP を実施するために構築したマネジメント組織について教えてください。
 - 3.2) 各組織はどのように互いに作用するのでしょうか。

3.3) なぜこのマネジメント組織をつくったのですか。

4. パートナーとの連携を機能させ、DDP を成功に導くためのマネジメントの組織作りと実施体制について、部局内での体制とパートナーとの間での体制の両方について聞かせてください。

4.1) DDP を〇学研究院の教育研究活動として制度化するためにどのような事をなさいましたか？新しい組織や手続き、人員や財源の配分、サポート体制のことなどについて教えてください。

4.2) DDP の実施評価、質に関する評価はどのように行っていますか？

4.3) DDP の達成目標の決定はどのように行われますか？また、その達成目標をパートナーとの間でどのように共有していますか？

4.4) DDP 実施の過程において、効率よくまた効果的に実施していくためにどのような工夫をされていますか？

4.5) 何か問題が生じたとき、どのようにその問題の確認と分析を行いますか？また、どのように解決しておられますか？

4.6) 問題解決のために、これまでの経験を活用しておられますか？どのように活用されますか？

4.7) パートナーとの連携が不安定にならないように、どのような工夫をされていますか？

5. 停滞期、衰退～終了ステージについての質問。

5.1) パートナーとの連携が停滞しそうになったり、ダメなのではないかという経験をされたことはありますか？

[If yes:] どのようにしてその状況を打開されましたか？

[If no:] そのような危険を避けることができている理由、あるいは今までなかったのはなぜだと思われますか？

6. 連携を成功させるために重要と考えるライフサイクルについての質問。

6.1) DDB パートナースhipはどのステージにあると思われますか？

6.2) どのステージが、連携を成功させるためには重要だとお考えになりますか？なぜそうと思われますか？

6.3) 重要とお考えのステージにおいて、パートナースhip連携をうまくマネジメントするために必要な要素はなんだと思われますか？